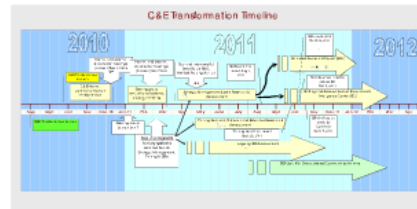




C&E Projects original 3 projects

1. Strategic Management System (development & recommendations) ✓ done!
2. Balanced Scorecard Implementation as Strategic Management System
3. Development of an Environmental Intelligence Center (EIC)
4. Centralized Duty Officer/Watch Operations
5. DEP Goal #2 Pilot - Barnegat Enviro-shed model
6. Supplemental Environmental Projects (SEPs)
7. Training Seminars, Outreach and Education (external, standardized- 2 phases) ✓ done!
8. Training - phase 3 (Appoint a lead for oversight, expand to staff training) ✓ done!
9. DEP Goal #3 Ownership - guide and coordinate all programs
10. Goal #3 Pilot for C&E - Waterfront South
11. Outstanding Debt Reduction



DEP Level Goals

- Goal 1 - Comprehensive Regional Environmental Management →
- Goal 2 - Utilize Barnegat Bay Restoration Project as a model to establish watershed based protection and enhancement of all New Jersey's surface water bodies →
- Goal 3 - Restoration and Enhanced Protection in Environmentally Overburdened Communities →
- Goal 4 - Sustainable Parks →
- Goal 5 - A Renewable Energy Strategy for Public Health, Environmental Protection and Economic Vitality →

Sustainability →

Indicators and Metrics tied to the budget →

C&E transformation updates and discussion

Northern Region

November 17, 2011

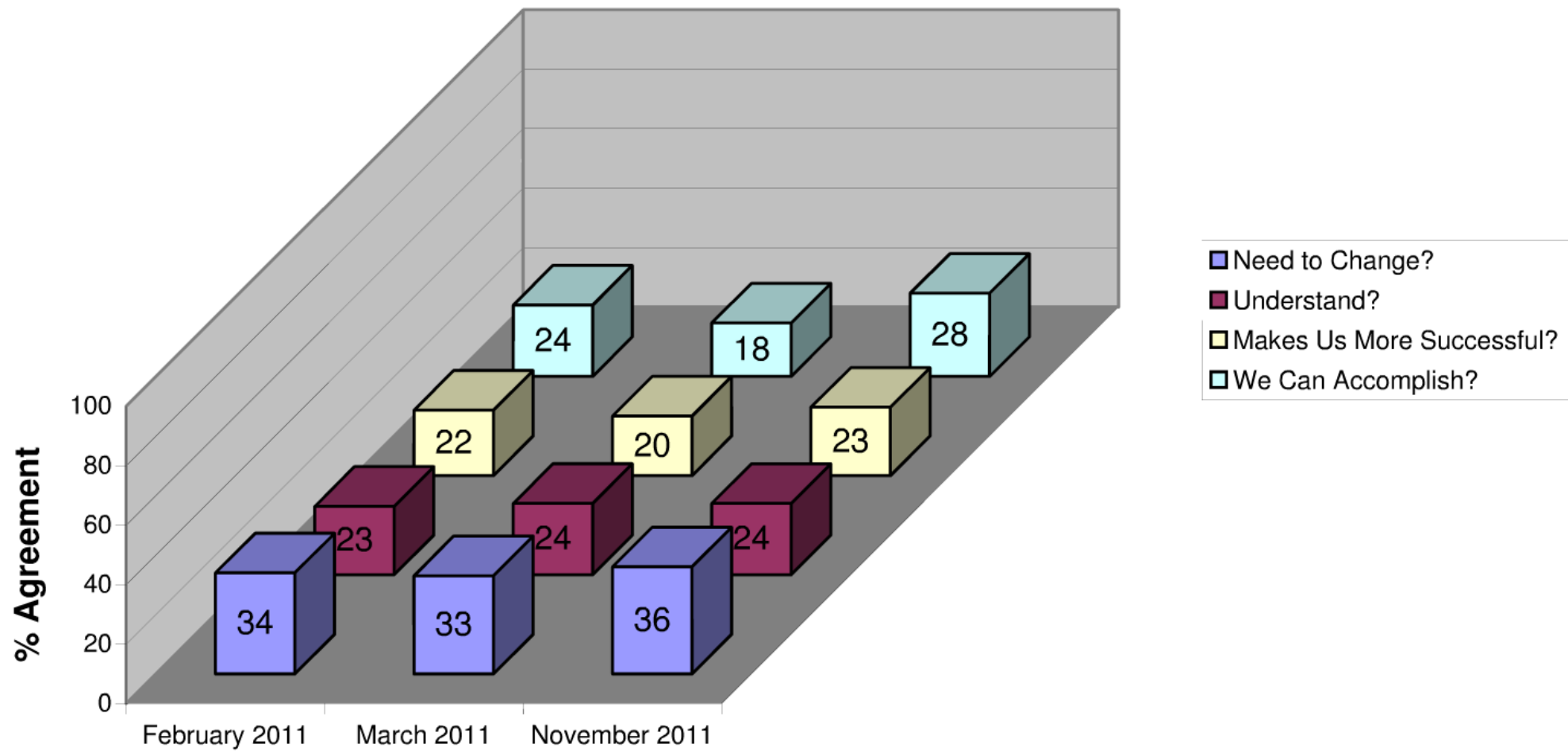
C&E transformation updates and
discussion
Northern Region
November 17, 2011

Why are we here today?

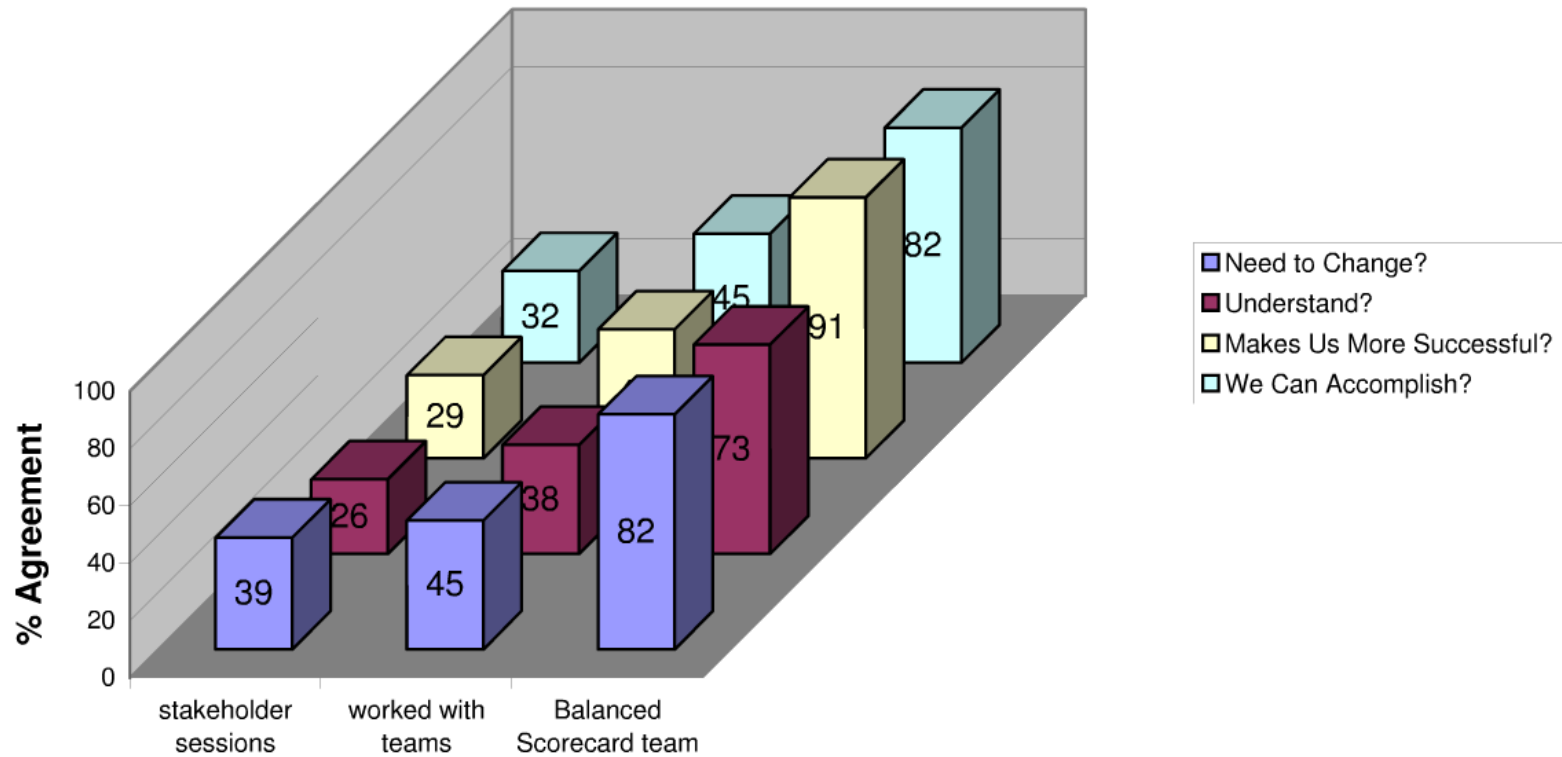
To build support for change



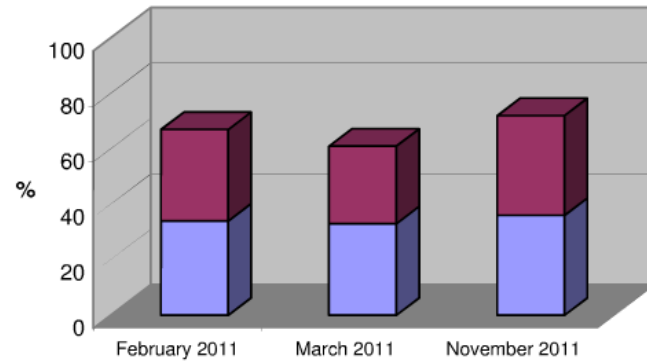
Support Over Time



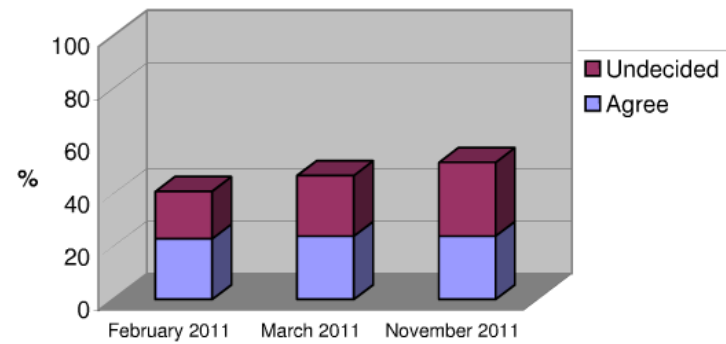
Support with Participation



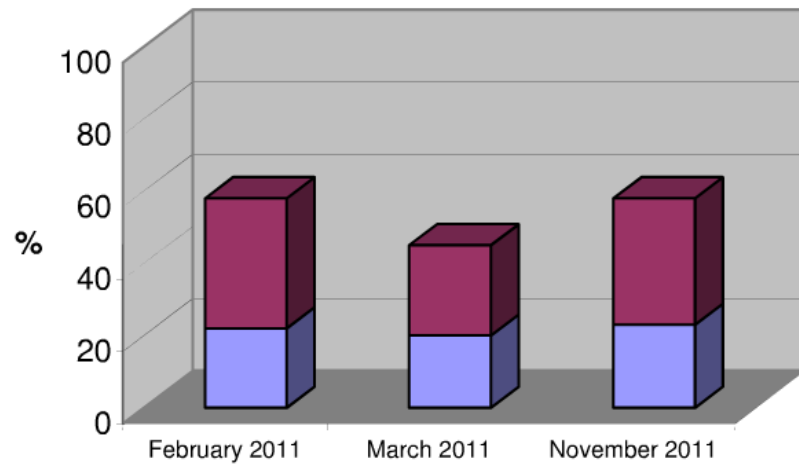
Change Needed?



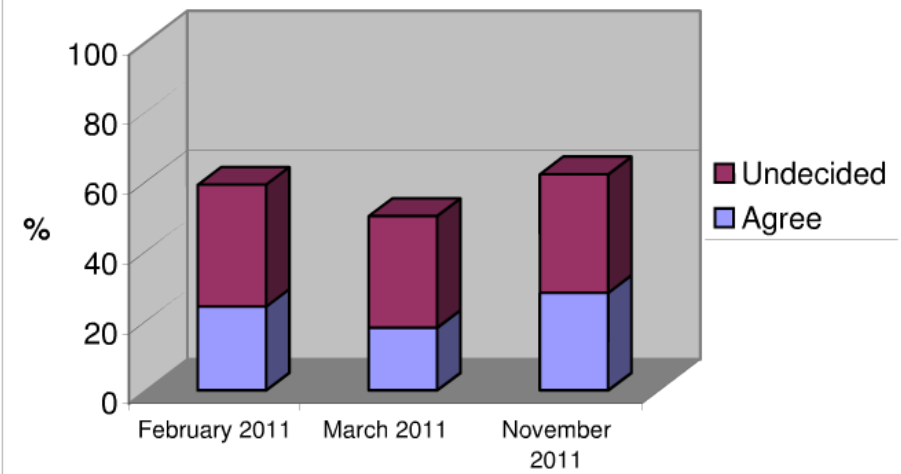
Understand?



Makes Us More Successful?



We Can Accomplish?



How can we build support?

uable input

Remind you where we've been
and what we've done so far

mation, observations and thoughts

How we build support?

Remind you where we've been
and what we've done so far

Share information, observations and thoughts

Explain ideas and actions

Explain ideas and actions

Listen to concerns

How can

Demonstrate learning, competence,
leadership and commitment

Exp

Listen to concerns

Answer questions

Challenge you and get your
valuable input

Remind you where v



Why are we here today?

To build support for
change



Challenge you and get your
valuable input

Answer questions

Listen to concerns

How can we build support?

Remind you where we've been
and what we've done so far

Demonstrate learning, competence,
leadership and commitment

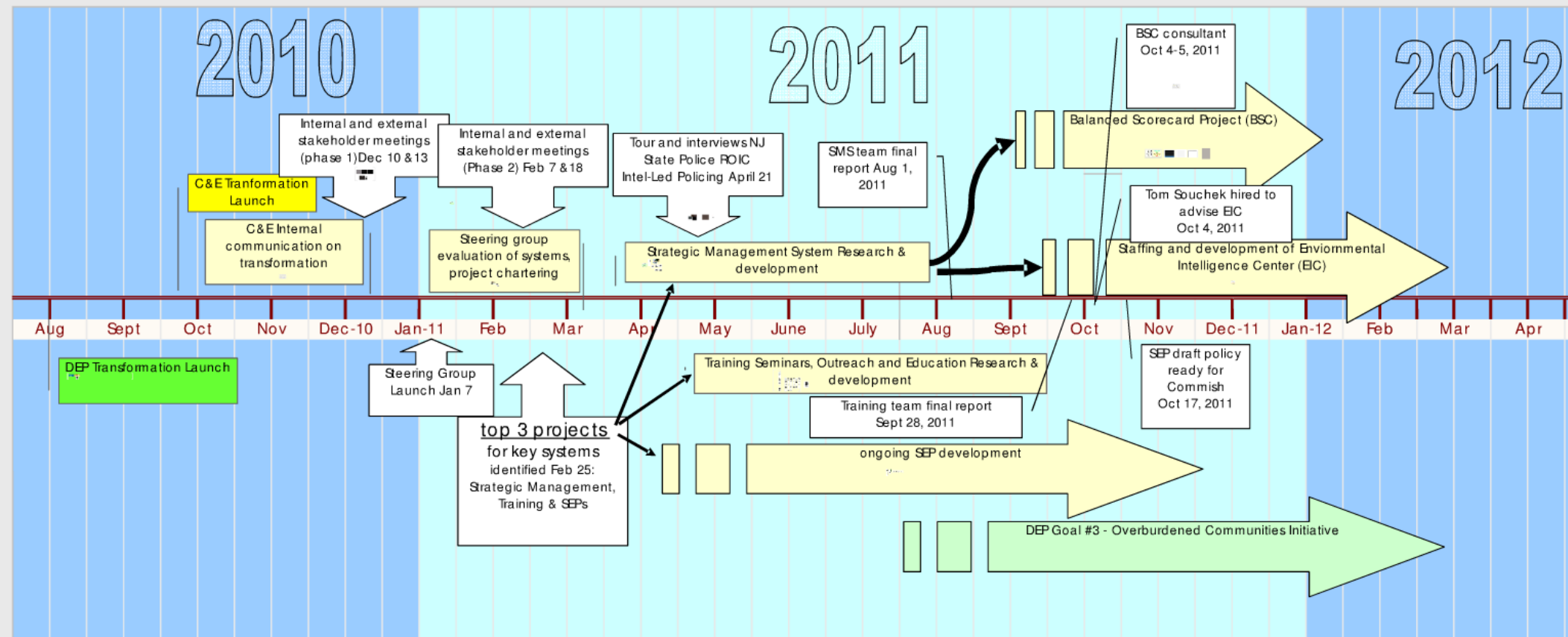
Share information, observations and thoughts

Explain ideas and actions

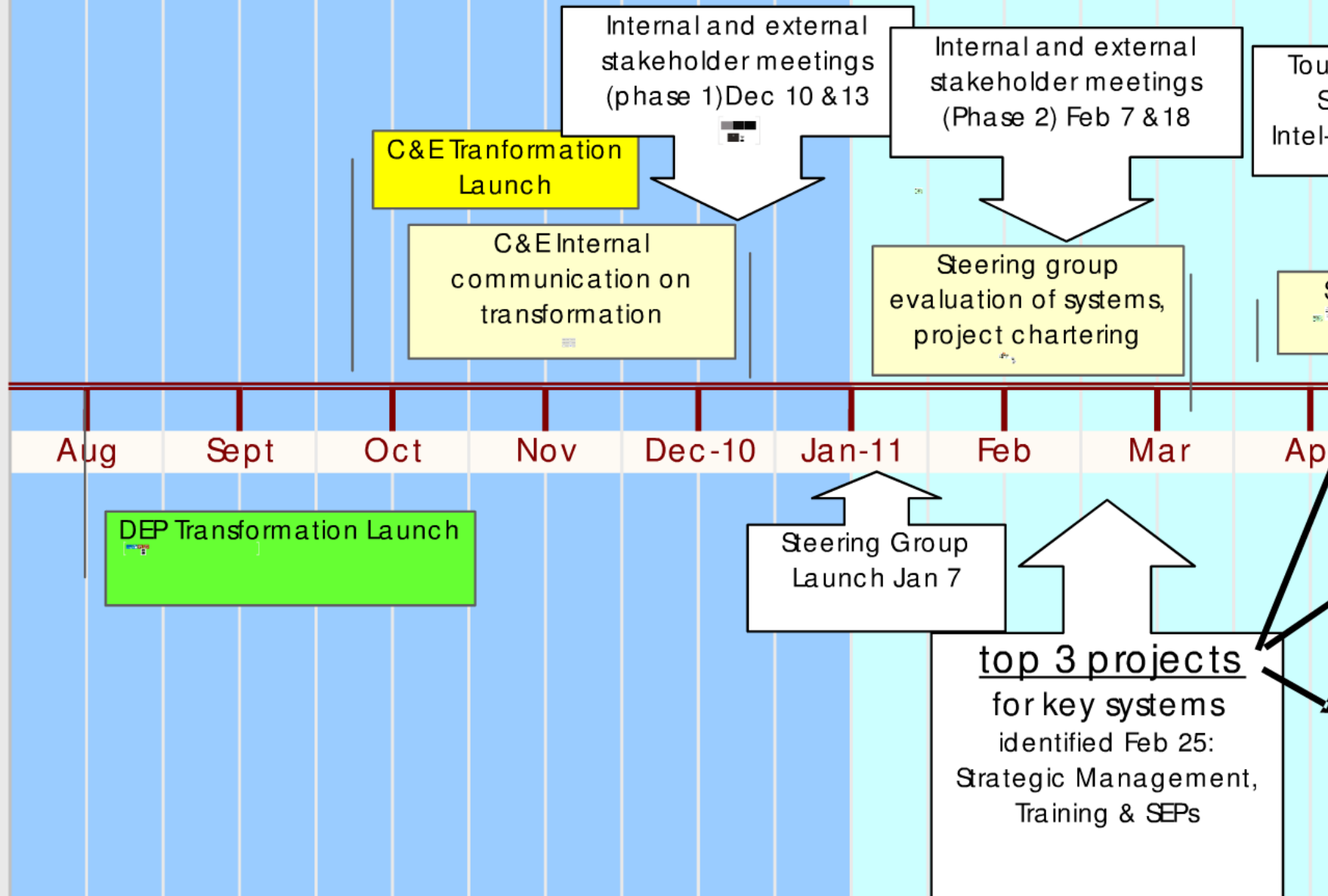


Prezi

C&E Transformation Timeline



2010



Why are we here today?

Transformation of DEP

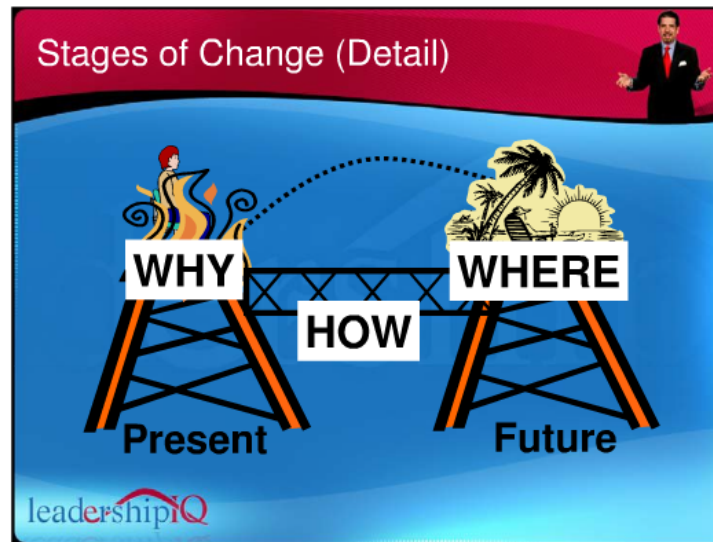
Irene S. Kropp
Deputy Commissioner
NJDEP



Burning Platform

The status of DEP- Our Resources

- We are losing staff and operational dollars
- There may be further budget reductions
- Or worse
- Our co-workers are retiring and we cannot hire
- We can not promote staff and properly compensate managers
- We need to move staff to priority programs
- Resources are dedicated to processes that are not mission-critical

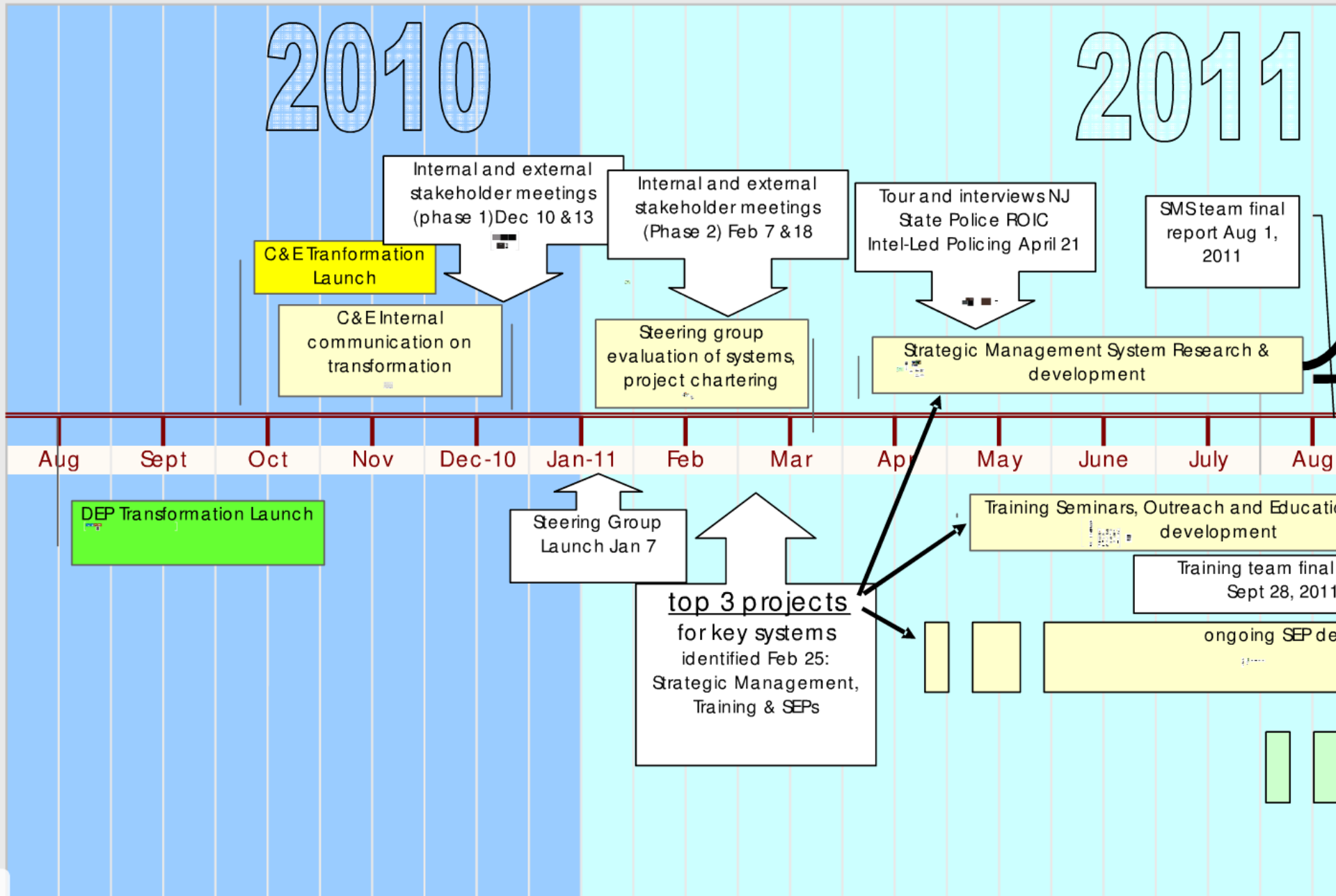


Define Why

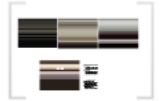
- What forces in the outside world are driving this change?
- How immutable are those forces?
- What happens if we resist the change?
- What things in our present state frustrate us or make us dissatisfied?

The 'Define Why' slide features a blue background with a large, faint 'Leadership IQ' watermark. A small icon of a man in a suit is in the top right corner. The 'leadershipIQ' logo is in the bottom left corner.

C&E Transformation Timeline



Internal and external
stakeholder meetings
(phase 1) Dec 10



C&E Transformation
Launch

C&E Internal
communication on
transformation



C&E TRANSFORMATION PROCESS

November 12, 2010

Our Burning Platform

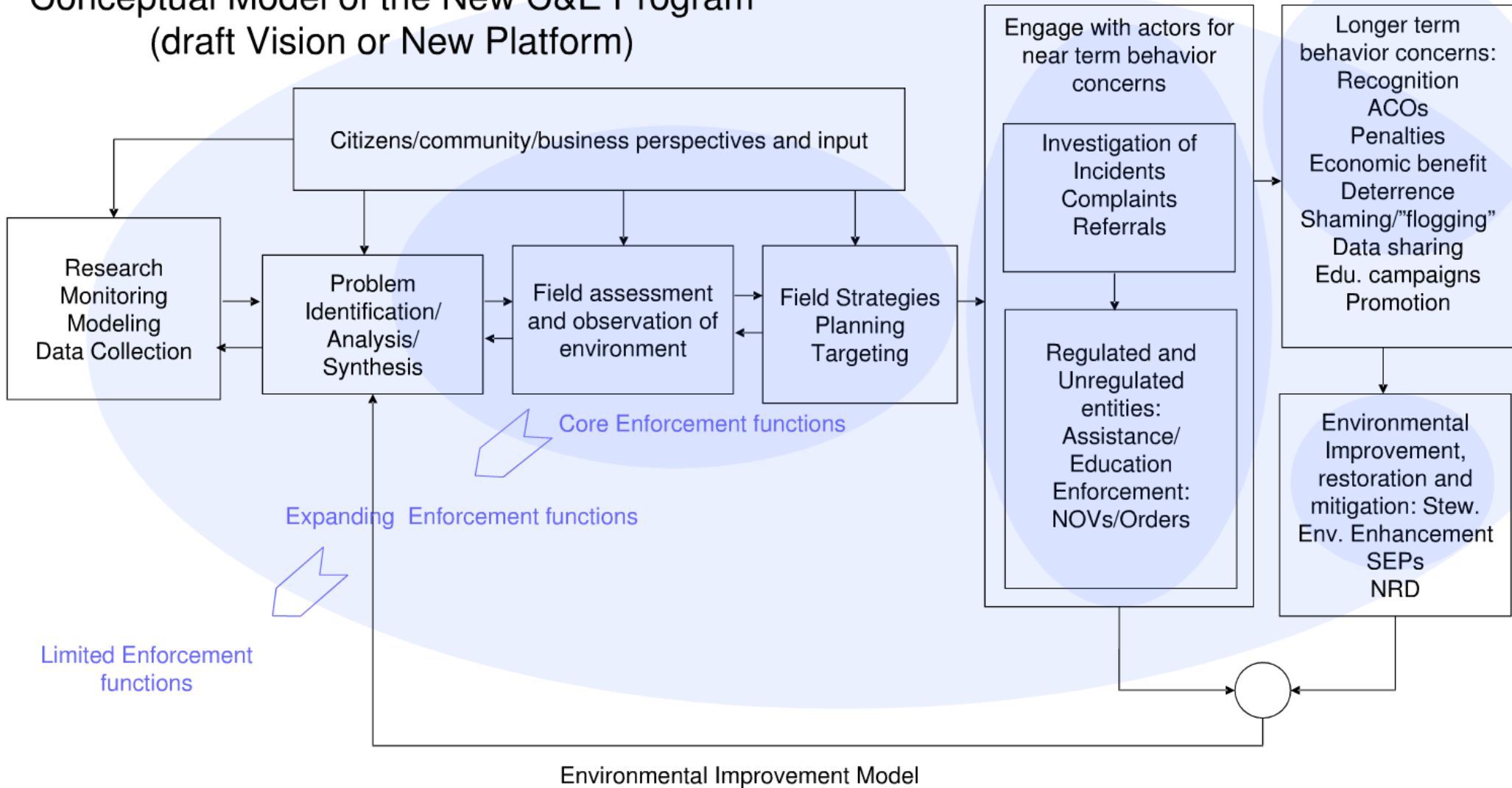
- ▣ Attrition
- ▣ Inability to hire: past, present & future
- ▣ Complex permits and regulations
- ▣ Large inspection universes
- ▣ Unrealistic public expectations
- ▣ Unrealistic Legislative expectations
- ▣ EPA Mandates
- ▣ Fee Mandates
- ▣ Lateral mobility

Burning platform = Series of systemic, intractable problems

County Environmental, Solid Waste and Pesticide Enforcement Programs

- ▣ Includes:

Conceptual Model of the New C&E Program (draft Vision or New Platform)



2010

Internal and external
stakeholder meetings
(phase 1) Dec 10 & 13

Internal and external
stakeholder meetings
(Phase 2) Feb 7 & 18

C&E Transformation
Launch

C&E Internal
communication on
transformation

Steering group
evaluation of systems,
project chartering

Sept

Oct

Nov

Dec-10

Jan-11

Feb

Mar

A

Transformation Launch

Steering Group
Launch Jan 7

viable for C&E?

What may be missing?
What deserves more or less
emphasis?

14

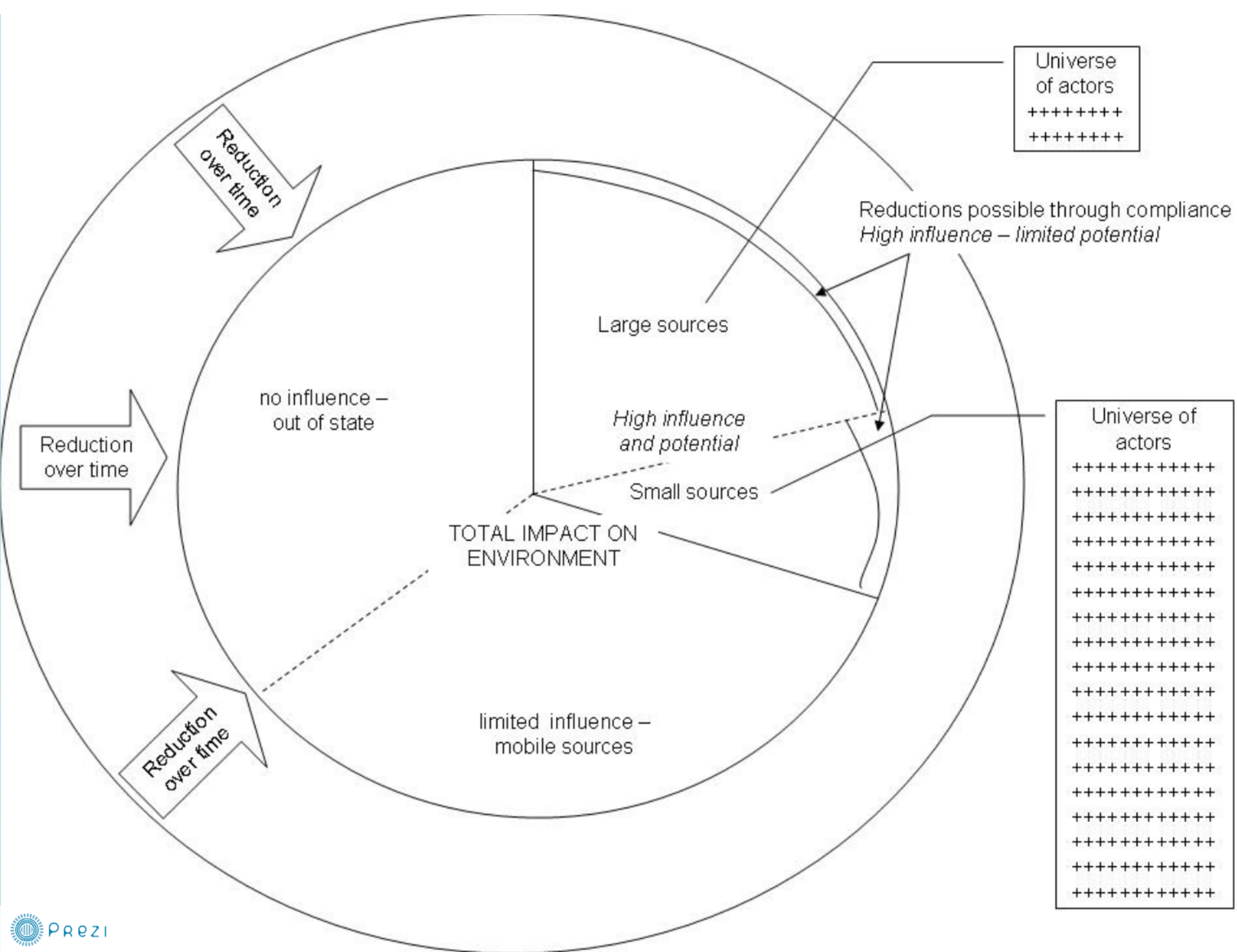


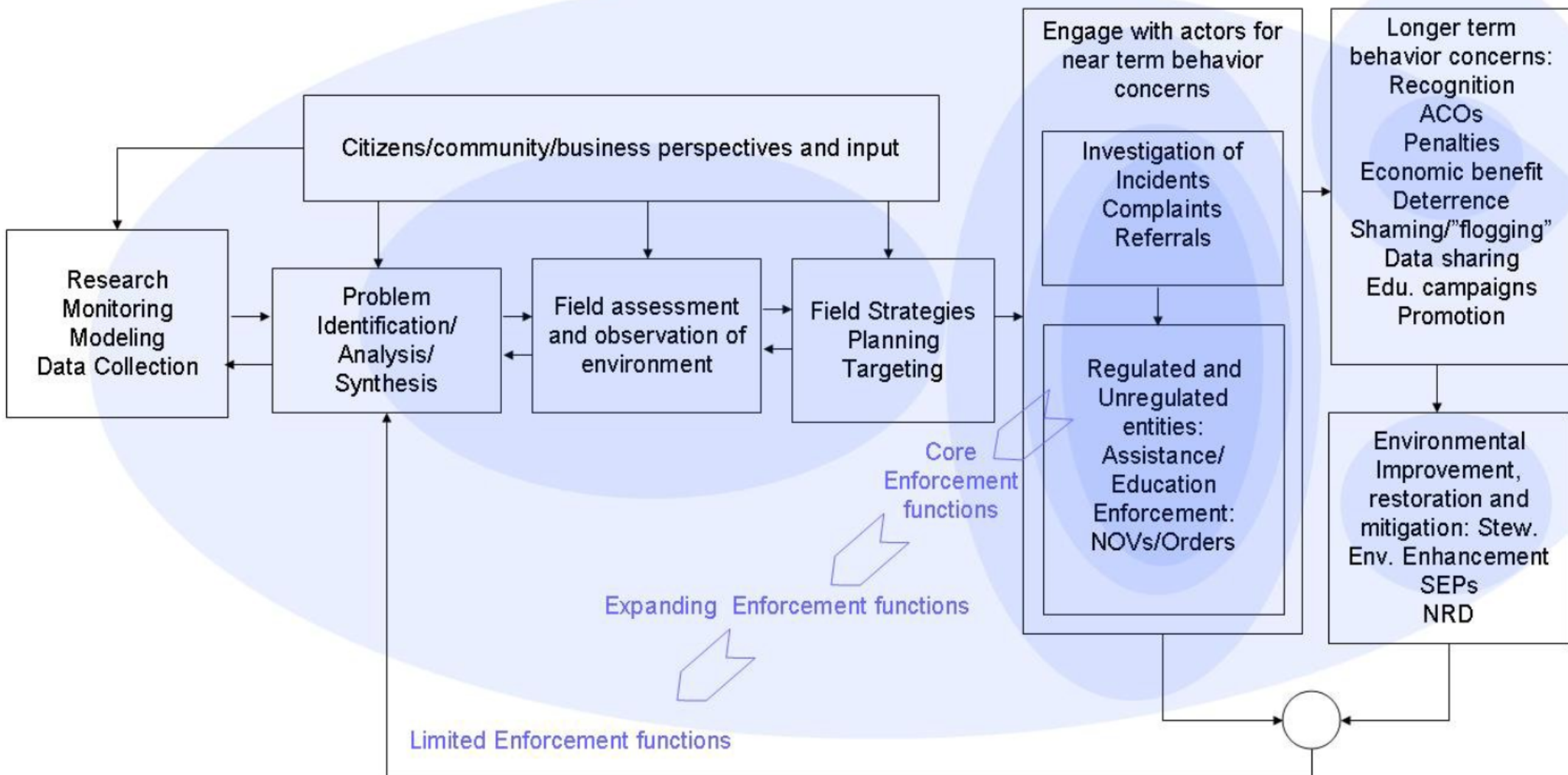
C. Considering the conceptual model presented, what directions and functions are appropriate and viable for C&E?

What may be missing?
What deserves more or less emphasis?









Environmental Improvement Model



Stakeholder Supported Changes/ Expansion of C&E's Role

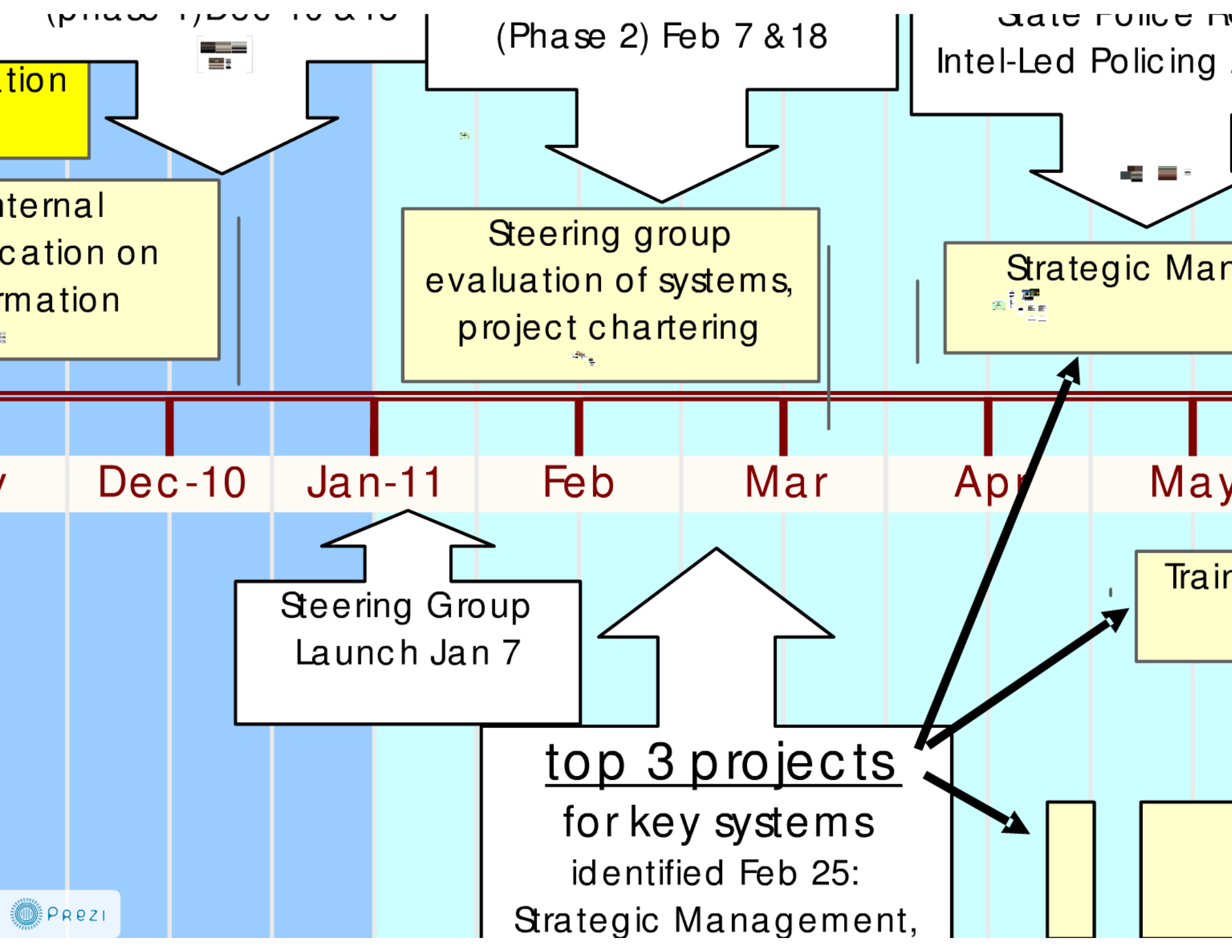
- more resources...
 - aimed at finding and resolving environmental problems directly
 - devoted to collaboration with others both in and beyond the Department
- saving resources...
 - through shifts away from lower risk sites (potential, history, performance, etc.)
 - by moving away from regulatory minutiae toward greatest environmental concern and benefit

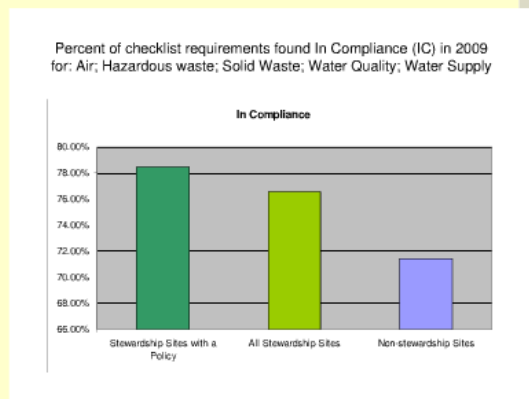
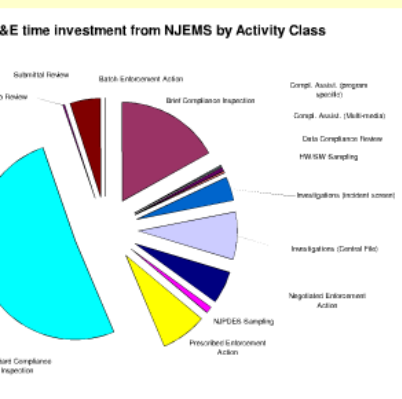
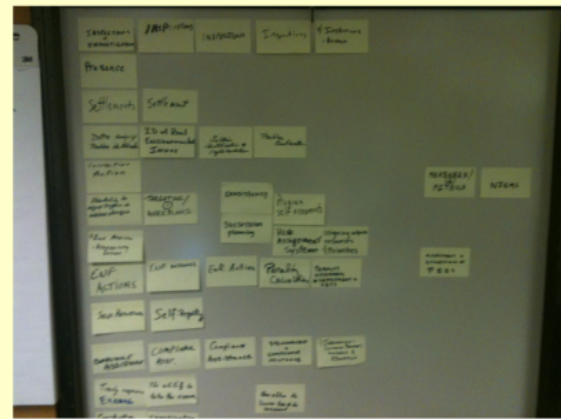
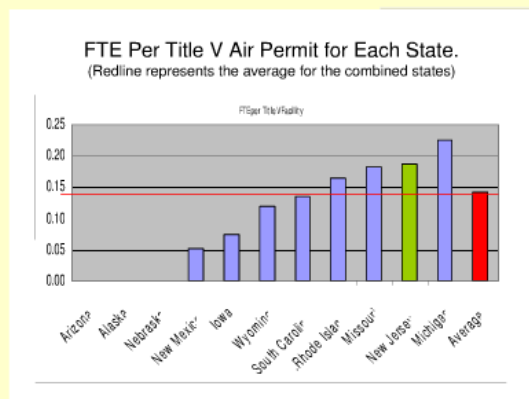
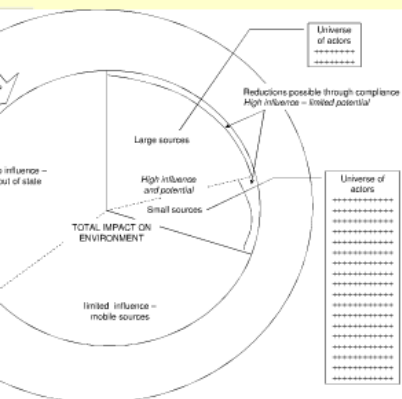
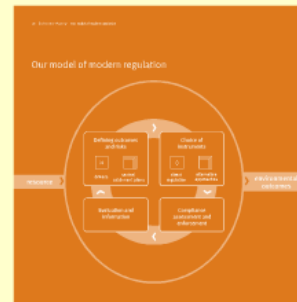
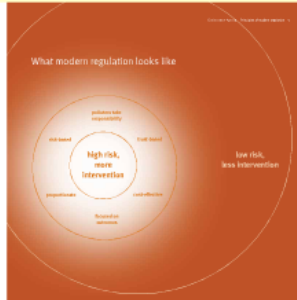
NEW Stakeholder supported **Results**

C&E is expected to deliver
and “authorized” to achieve:

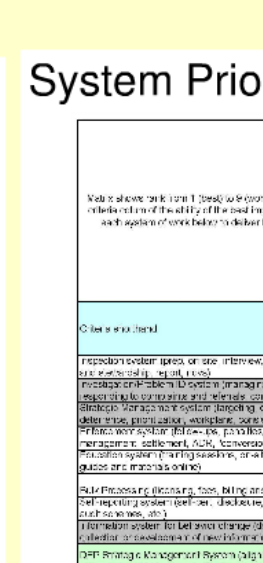
- High but meaningful compliance
- Better behavior from others resulting in better environmental protection or outcomes (whether mandated or not)
- Finding and fixing environmental problems as directly as possible.
(involving others when needed)

[no backsliding on previous gains is inherent]





Criteria for evaluating a system of work	Through a system of work				Applying criteria			
	Criteria 1: Safety of the system	Criteria 2: Safety of the system	Criteria 3: Safety of the system	Criteria 4: Safety of the system	Criteria 5: Safety of the system	Criteria 6: Safety of the system	Criteria 7: Safety of the system	Criteria 8: Safety of the system
Criteria 1: Safety of the system	5	3	6	14	5	6	6	35
Criteria 2: Safety of the system	6	6	1	13	3	9	5	36
Criteria 3: Safety of the system	2	7	2	11	2	8	2	25
Criteria 4: Safety of the system	7	4	3	14	6	7	7	39
Criteria 5: Safety of the system	1	2	5	8	4	2	4	24
Criteria 6: Safety of the system	9	9	9	27	9	3	9	55
Criteria 7: Safety of the system	4	5	8	17	6	4	5	43
Criteria 8: Safety of the system	3	1	7	11	7	5	3	34
Criteria 9: Safety of the system	0	8	4	20	1	1	1	24



Key Systems

1	Strategic Management system (targeting, ensuring deterrence, prioritization, workplans, consistency, measuring and communicating success)
2	Education system (training sessions, on-site assistance, guides and materials online)
3	DEP Strategic Management System (aligning all areas with mission, DEP-wide prioritization, re-allocating resources, ensuring communication and collaboration)
4	Investigation/Problem ID system (managing and responding to complaints and referrals, community input, observation, research & analysis, DEP science input)
5	Inspection system (prep, on-site, interview, compliance and stewardship, report, novs)
6	Information system for behavior change (devising collection or development of new information, building reports or materials for direct or third party influence)
7	Enforcement system (follow-ups, penalties, case management, settlement, ADR, "conversions" of bad guys to good guys, SEPs)
8	Self-reporting system (self-cert, disclosure, monitoring, audit schemes, etc.)
9	Bulk Processing (licensing, fees, billing and collections)

Key Systems

1	Strategic Management system (targeting, ensuring deterrence, prioritization, workplans, consistency, measuring and communicating success)
2	Education system (training sessions, on-site assistance, guides and materials online)
7	Enforcement system (follow-ups, penalties, case management, settlement, ADR, "conversions" of bad guys to good guys, SEPs)

Projects

1. Strategic Management System
 - Major undertaking, brand new
 - requires team to devise projects or steps
2. Series of Seminars – all programs
 - Modeled on existing training
 - To be established soon, offerings ongoing
3. SEP rule/policy and process

ng Group
ch Jan 7

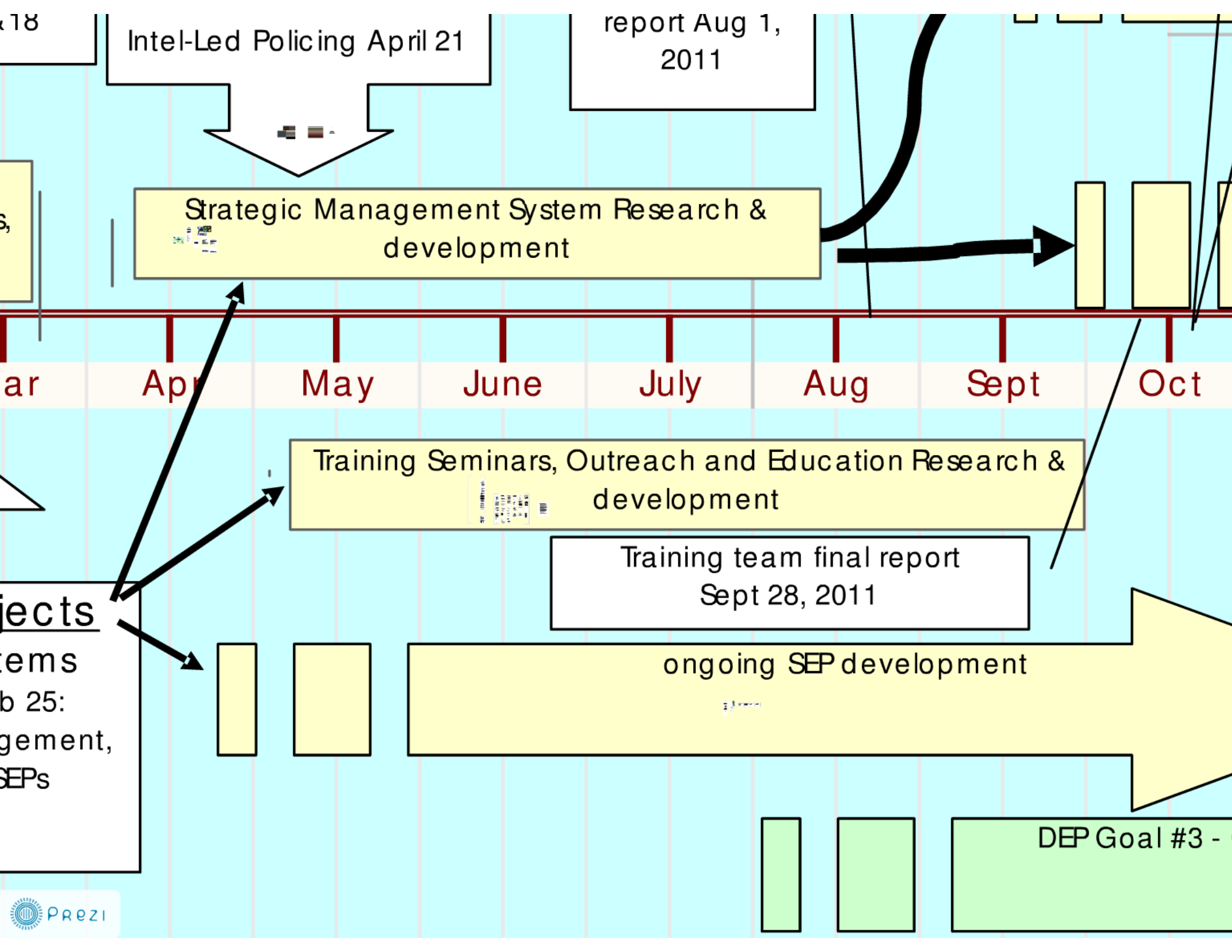
top 3 projects

for key systems

identified Feb 25:

Strategic Management,
Training & SEPs

Tra i



Sept 28, 2011

ongoing SEP development



DEF

DRAFT
Project Charter
Supplemental Environmental Projects (SEP) Rule & Implementation Process

Sponsor: Assistant Commissioner Skacel

Project Lead: Julie Krause

Project title: SEP Rule & Implementation Process

The Purpose:

To establish a SEP rule and process that maintains deterrence for non-compliance while enabling regulated entities, as a condition of settlement, to take voluntary actions that achieve environmental improvement.

Reasons for undertaking this Project:

C&E seeks “better behavior from others resulting in better environmental protection or outcomes” and SEPs are a primary tool to achieve that goal. In addition to creating direct environmental gains aimed at Department priorities, a SEP rule and process should improve internal and external understanding on what is considered a SEP and the conditions under which it can be incorporated into a settlement agreement. The SEP process should improve consistency and where appropriate standardize the process. The review and approval process can be streamlined to increase efficiency and minimize delay in finalizing SEP agreements

Scope:

The SEP rule may establish, among other things, the terms and conditions under which a SEP can be incorporated into a settlement agreement, the types of projects eligible for a SEP, and criteria C&E uses to approve or deny a proposed SEP.

The SEP process should promote coordination within C&E and between C&E and other DEP

that maintains deterrence for non-compliance while enabling settlement, to take voluntary actions that achieve environmental

resulting in better environmental protection or outcomes" and goal. In addition to creating direct environmental gains aimed process should improve internal and external understanding on conditions under which it can be incorporated into a settlement improve consistency and where appropriate standardize the is can be streamlined to increase efficiency and minimize delay

er things, the terms and conditions under which a SEP can be nt, the types of projects eligible for a SEP, and criteria C&E

ordination within C&E and between C&E and other DEP t benefit from a SEP as well as verify completeness and ess should involve centrally tracking key components of SEPs SEPs. The process should provide for consistent and effective , and evaluating SEPs.

and community representatives may be addressed in part in the nce depending on the extent to which such engagement is standardized.

rule has been adopted and is being successfully implemented

accordance with rule writing and transformation requirements rule and processes components; including, review EPA SEP and current C&E practices stakeholders, internal partners, and external sources

through the development, adoption, and implementation phases

1

DRAFT
ial for staff, informative material for external stakeholders, as communication on the subject of SEPs
groups as appropriate to ensure effective input and progress on status and seek guidance from project sponsor on key policy re to C&E on interpreting and evaluating opportunities for to SEPs

on C&E as required to participate in a team, review gies on SEPs on key policy issues on with project lead as required

ssfully complete work associated with team involvement m charter

SEPs (may include: training, documents, powerpoint,

and evaluate SEPs
by the Rule

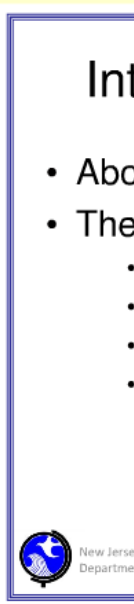
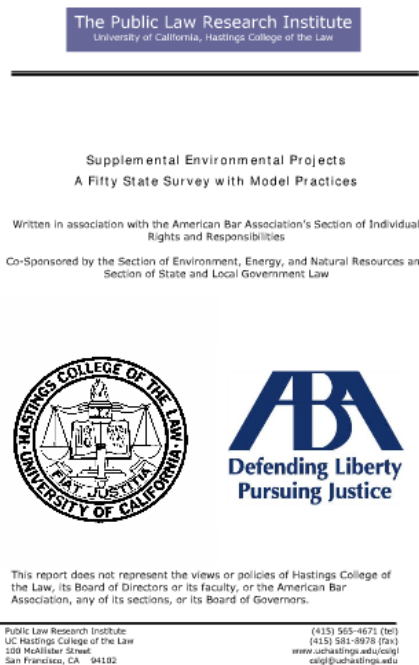
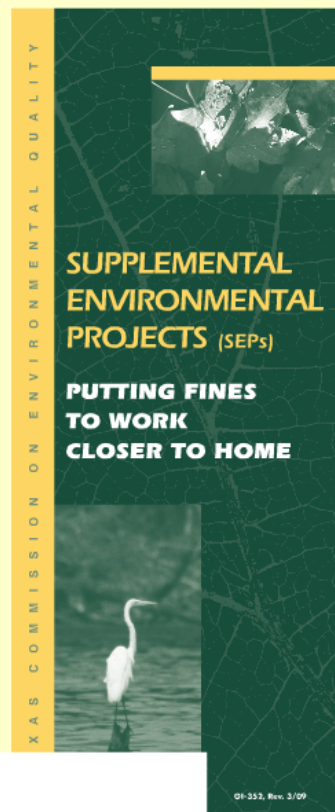
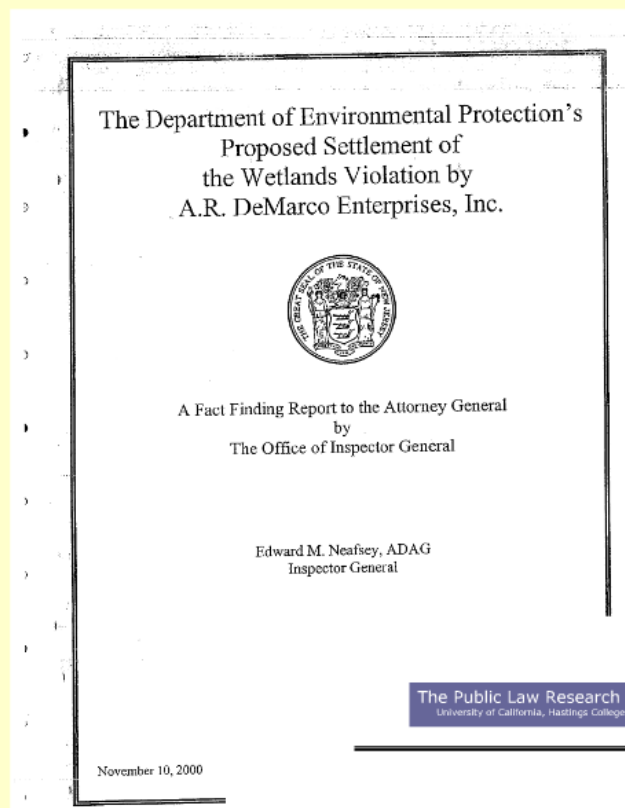
and process as priority. Internal Stakeholder meeting, external re paper are prerequisite to rule initiation. White Paper is to be

d project lead will initiate rule making. Typical rule making lf. Major milestones of the rule making process include proposal, holding public hearing, 60 day public comment and publishing enacted rules.

in adoption, concurrently with rulemaking, project lead will entation system. A team may be created at this stage to assist P rule, identifying strategies for communicating with internal tated documentation (such as: training material, guidance

mented in C&E

2



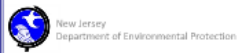
Stakeholder Meeting

deeds

efits
mental Gains
with structure
urrence

Internal Coordination Meetings

- Community Forestry Program
- Environmental Justice Office
- Economic Growth & Green Energy
- Land Use Regulation
- OIRM



Documents Drafted

- Charter
- White Paper
- BMPs on Incorporating SEPs



Next

- External Stakeholder
- Publish White Paper
- Draft Rule



Strategic Management System Research & development

May

June

July

Aug

Sept

Training Seminars, Outreach and Education Research & development

Training team final report
Sept 28, 2011

ongoing SEP development



New Jersey Department of Environmental Protection
Compliance & Enforcement

PROJECT CHARTER

TRAINING SEMINARS OUTREACH & EDUCATION

Project Sponsor: Wolfgang Skacel, Assistant Commissioner
Project Manager: Michele Kropilak, Environmental Specialist 3

The Project Charter formally recognizes the existence of a project. It describes the project at a high level and explains the business need for it; it also outlines the scope – what is in the project, and what is out. The Charter authorizes the Project Manager to plan the project, and the other members of the team to expend resources to complete the project. The charter must be signed by the Leadership Team.

THIS PROJECT SUPPORTS/ALIGNS WITH THE FOLLOWING:

DEPARTMENT TRANSFORMATION PRIORITIES

- Improving customer service by establishing processes for the flow of information to improve communication efforts with the Department's internal as well as external constituencies, to ensure that staff, stakeholders and the general public are accurately informed about our decisions and activities.
- Structure processes and policies to help change the culture outside of the Department, to make regulated entities and their consultants more responsible for the quality of submittals.
- Base enforcement priorities and actions on environmental risk. Establish a better connection between the enforcement and permitting programs.



New Jersey Department of Environmental Protection
Compliance & Enforcement

*STRATEGIC
TRAINING PLAN*





New Jersey Department of Environmental Protection

Compliance & Enforcement

STRATEGIC TRAINING PLAN



Instructional Strategy

Developing an Instructional Strategy

At this point in the Design phase, you make important choices about the [nature, structure, and methods](#) of the course. These choices combine to form a comprehensive instructional strategy that helps people achieve the course's learning objectives.

You draw upon theoretical knowledge and practical experience when you create instructional strategies for your course.

There are many different ways to organize and present content to participants. It is your responsibility to choose the correct instructional strategies for the course and the participants.

Here are three issues that you should consider in creating an instructional strategy:

- How will course material be grouped and sequenced?
- What instructional methods and tactics will be used to present material?
- How will assessments measure a participant's success?

After these issues are worked with each other, a choice in one area may not be the other area.

Grouping and Sequencing Content

You must decide if any of the course's learning objectives should be grouped together. You can't teach everything once, but sometimes it makes sense to put related topics together for the participants. These related topics can be the basis for a course module.

Once topics have been grouped together, you have to organize the content into a course structure. The content modules of each group should be sequenced and then the groups themselves need to be sequenced together to form the course structure. Here are just a few of the many possible sequencing options:

- Step-by-step
- Personalized
- Whole-to-part
- Reverse-to-whole
- General-to-specific

Just as you can, there are many different ways to organize and present course material. You choose the structure that makes the most sense for the participants and the course content for your program and audience.

Share all course materials

It is important to make sure your course materials are accurate, complete, and meet all your training goals and objectives.



Prezi is a great tool for creating a visual outline of your course. It allows you to get feedback prior to creating your course materials, ensuring that your content is accurate, complete, and meets all your training goals and objectives. People can easily view and leave feedback on your content, providing a very easy way to get your course materials reviewed and revised.

INTRODUCTION

This training plan will be utilized by all Compliance and Enforcement programs in the planning, implementation and ongoing tracking of all training and outreach provided to the public. It is a comprehensive, systematic and detailed training plan to provide consistency amongst all Compliance and Enforcement programs and allow the program and management to measure and adapt training needs to a coordinated manner. This plan will also track and analyze metrics and feedback obtained from stakeholders before, during and after training events in order to allow for continuous improvement.

It is designed to help the ADCHE model which is a systematic, step-by-step framework used by trainers to ensure their goals are met.

A	Analysis	Assess: What is the Performance Goal?
D	Design	Design: How will learners accomplish the Performance Goal?
D	Development	Meeting the Objectives
I	Implementation	Delivering the Solution
E	Evaluation	Ensuring Quality

Specifically, these goals include:

- 1) learners will achieve the goals of the course
- 2) evaluation of the learner's needs
- 3) design and development of training materials
- 4) evaluation of the effectiveness of the training using processes with specific, measurable outcomes.

This plan will focus on education resources to provide targeted, timely training to increase understanding and compliance with NJDEP regulations, encourage the regulated community towards better behavior, to go beyond compliance and embrace environmental stewardship, and promote, improve and encourage an open dialogue between compliance and Enforcement and its customers.

Choosing Methods and Tactics

In the Design phase, you also have to decide how the course material will be presented to the participants. Here are a few examples of the different types of learning activities or exercises:

- Group discussion
- Modeling
- Simulation
- Metaphors
- Drills
- Applied practice

Designing Assessments

During the Analysis phase, you created the learning objectives that defined measurable tasks and criteria for success. Now, in the Design phase, you need to create assessment tools that will measure the participant's progress.

The course's assessments should measure a participant's progress towards each of the learning objectives. The types of assessment used in the learning objectives.

Selecting the Course Format

The course delivery method impacts how participants experience the course and its content. If you choose the right delivery method, it will make the learning process easier for the participants. However, if the delivery method doesn't fit the content and participant's needs, then the course will have very limited success.

Course Delivery Options

Here's a list of some of the common course delivery formats:

- Instructor-led courses
- Pre-recorded self-study materials
- eLearning – self-paced such as video lecture or DVD or video conference (webinar)

IV. Implementation Phase

The Implementation phase follows the Development phase and addresses that

- The course meets important [business goals](#)
- The course meets content that [business and audience](#)
- The course delivers the [learning outcomes](#)

It is important that DEP management communicate the support of a particular training initiative and provides

I. ANALYSIS

One of the most important steps in the development of a training program is the initial analysis/assessment. As stated in the ADCHE model "during analysis, the designer identifies the learning problem, the goals and objectives, the audience's needs, existing knowledge, and any other relevant characteristics. Analysis also considers the learning environment, any constraints, the delivery options, and the timeline for the project."



Within Compliance & Enforcement, each program shall identify a minimum of 2 target audiences per year and provide a minimum of 2 seminars or outreach events per year. The steps to perform when developing a seminar program for your program shall be as follows:

- Perform a Needs Assessment
- Develop a Problem Statement
- Establish Goals
- Determine what Activities/Outputs will be performed
- Determine what Outcomes are desired

Needs Assessment

The first step in initial analysis/assessment of programs is to perform a Needs Assessment of the target audience. The University of Arizona Cooperative Extension Service (UACES) states "there are several methods of knowing about clients' needs, including use of existing data, conducting surveys, assessment sessions of focus groups, and working with advisory committees or key informants." Determining the need for our audience can be done by performing the following steps:

- Evaluate existing NJDEP data to find what issues need emphasis, identify and target the most environmentally important compliance improvement opportunities within your program
- Justification for proposed training: determine cost benefits to audience/target audience/does it contribute to significant environmental benefit
- Hold stakeholder meetings with internal and external stakeholders to get input
- Survey the target audience to find out what they think is important
- Develop a committee made up of staff to evaluate the data and plan the program

Problem Statement

After a needs assessment has been performed you can develop a Problem Statement which is a brief statement explaining the need for the program. A problem statement could be something as simple as "NJDEP data indicates only 40% of Hazardous Waste Generators manage activities of hazardous waste in compliance with the regulations."

Example:

The next step in the process is to develop goals for the life of the program. An example of a goal statement using the above example could be "Ensure that the rate of compliance with the Hazardous Waste container management regulations is at least 50%."

Instructional Design Documents

At the end of the design phase, you write an instructional design document. This document provides more than just a simple course outline; it provides a high-level overview of the entire training solution.

Your instructional design document provides detailed instructions on how to build the course, but it doesn't contain any actual course content. It's similar to an architect's blueprint or a software engineer's design document.

Generally, an instructional design document will perform the following tasks:

- Describe the overall learning approach
- Identify instructional media choices
- Cluster and sequence objectives
- Describe course exercises, activities, and assessments

Together these elements create the overall instructional strategy for the course. A short course might have a very simple design document, but complex and lengthy courses can have very detailed design documents.

The instructional design serves as a major quality assurance checkpoint. You and your team discuss and agree to the design before development begins. It's a lot easier to adjust the design than develop materials later in the project.



Registration

- How will learners be enrolled for the course?
- How will course content be tracked?
- How will content be communicated to instructors?
- How will instructor record attendance and test scores?
- Will this course be entered into a learning management system?

Logistics

- Will this course be entered into a learning management system?

Activities/Outputs

Development of Activities/Outputs is the next step. These are the actual things that participants will do. In our case, the activity will be the presentation of seminars/workshops. The achievement of your goal(s), other activities should be performed such as completing activities, newspaper articles, and compliance customer inspections.

Outcomes

The outcomes of the program are the actual impacts the program anticipates for outcomes are usually grouped as short, medium and long-term outcomes, which are as follows:

Short-Term Change is -

- Knowledge
- Skills
- Attitude
- Motivation
- Awareness

Medium-Term Change is -

- Behavior
- Practices
- Policy
- Procedures

Long-Term Change is situation -

- Environment
- Social conditions
- Economic conditions
- Political conditions

UACES has an excellent website dealing with the subject of Program Planning and Evaluation "The University of Arizona Cooperative Extension Program Planning Website: <http://extension.arizona.edu/evaluation/>". The website provides links to other University resources that provide more information on the subject.



SAMPLE

INSTRUCTIONAL DESIGN DOCUMENT

DESIGN PHASE TEMPLATE

Instructional Design Document for
eEEMPR Training
Air - C&E

Learning Objectives

At the end of this training, participants will know how to -

1. Log on to DEP portal
2. Monitor within the DEP portal
3. Request and complete EER spreadsheet
4. Upload, verify and submit EER spreadsheet

Instructional Strategies

Organizing and Sequencing of Content

1. DEP webportal - step-by-step
2. EER spreadsheet - step-by-step

Course Assessment

1. Pre-Test / Post-Test

Course Delivery Format

Course delivery will be Instructor-led

V. EVALUATION

Evaluation should be done continuously throughout the ADCHE process, and be a targeted training goal with specific, measurable results as noted below. Measurement continuous improvement of the training provided to attain desired training goals/needs/outcomes shall be measured in one of the following metrics in order of preference:

- General improvement in compliance/behaviors/actions and/or increased stewardship programs (average baseline data vs. post training data)
- Improvement in compliance/behaviors/actions for the program and topics of interest
- Improvement in compliance/behaviors/actions by attendees or participants

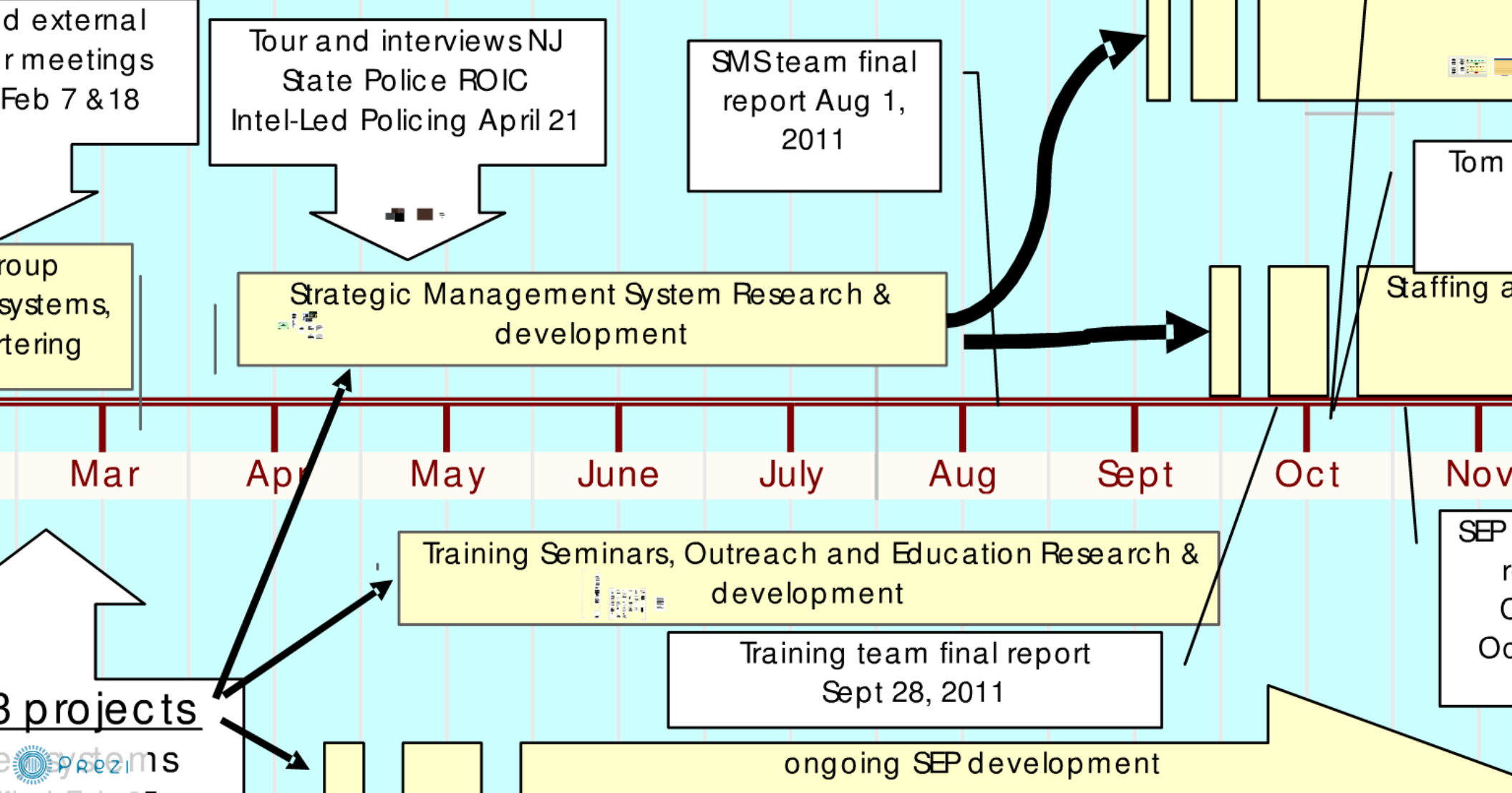
Training Workgroup Implementation Recommendations

- ❖ Designate Training and Staff Development Coordinator for C&E –lateral transfer opportunity
- ❖ Designate Program Training Leads to liaison with Coordinator and implement/continue training program per the Strategic Plan
- ❖ Develop implementation timetable and determine priority/commitment to training program enhancements listed below
- ❖ Designate support staff to input information into ACCESS database to keep all training initiatives within C&E current
- ❖ Require all staff involved in training events to take C&E training module through LMS system. In addition, program training team members must consult with Program Training Lead concerning training skill enhancements

Proposed Training Program Enhancements

- Purchase C&E membership to www.constantcontact.com – online/automated registration/event/survey/email/tracking attendance for all training events. (COST: approx. \$750.00/ year) – currently being researched by Larry Si
- Update and expand C&E website to include a Training section – which would include event info/ past event info (powerpoints/links etc...)
- NJEMS training – include Captivate training module for online learning (Resources: Amy Telford to assist in production)
- Utilize public/private partnerships to conduct training events
- Use Webinars for training events (Resources: Amy Telford to assist in setup/delivery)
- Through SMS system, data analysts collect NJEMS data/metrics to target education events/outreach (Resources: Training & Staff Development Coordinator, EIC Data analysts)
- Designate 1 day/quarter minimum for internal staff training

2011



Compliance & Enforcement Strategic Management System Charter (SMS) March 24, 2011

Sponsor: Assistance Commissioner Wolf Skacel

Purpose: This system will allow us to set and adjust priorities and allocate resources to achieve the best environmental outcome and benefit. These goals will be accomplished while ensuring deterrence, high but meaningful compliance, better behavior from others, finding and fixing problems, developing consistent goals and communicating results. This system must recognize and be prepared to counter objections over breaking convention that could be seen as undermining laws or creating an uneven playing field. The system should allow for holistic and multi-media approaches. It needs to acknowledge mandates and regulations but also seek creative ways to satisfy these obligations and/or pursue appropriate modifications.

Scope:

- Think long term and short term
- Do not let laws, regulations, EPA mandates be a constraint at this stage; however, think of creative ways to account for mandates.
- Consult with outside/inside experts, with Sponsor's prior approval

Team Members:

Steve Anderson – Climate and Env. Management- Climate & Energy/Trenton

C&E Strategic Management System Team

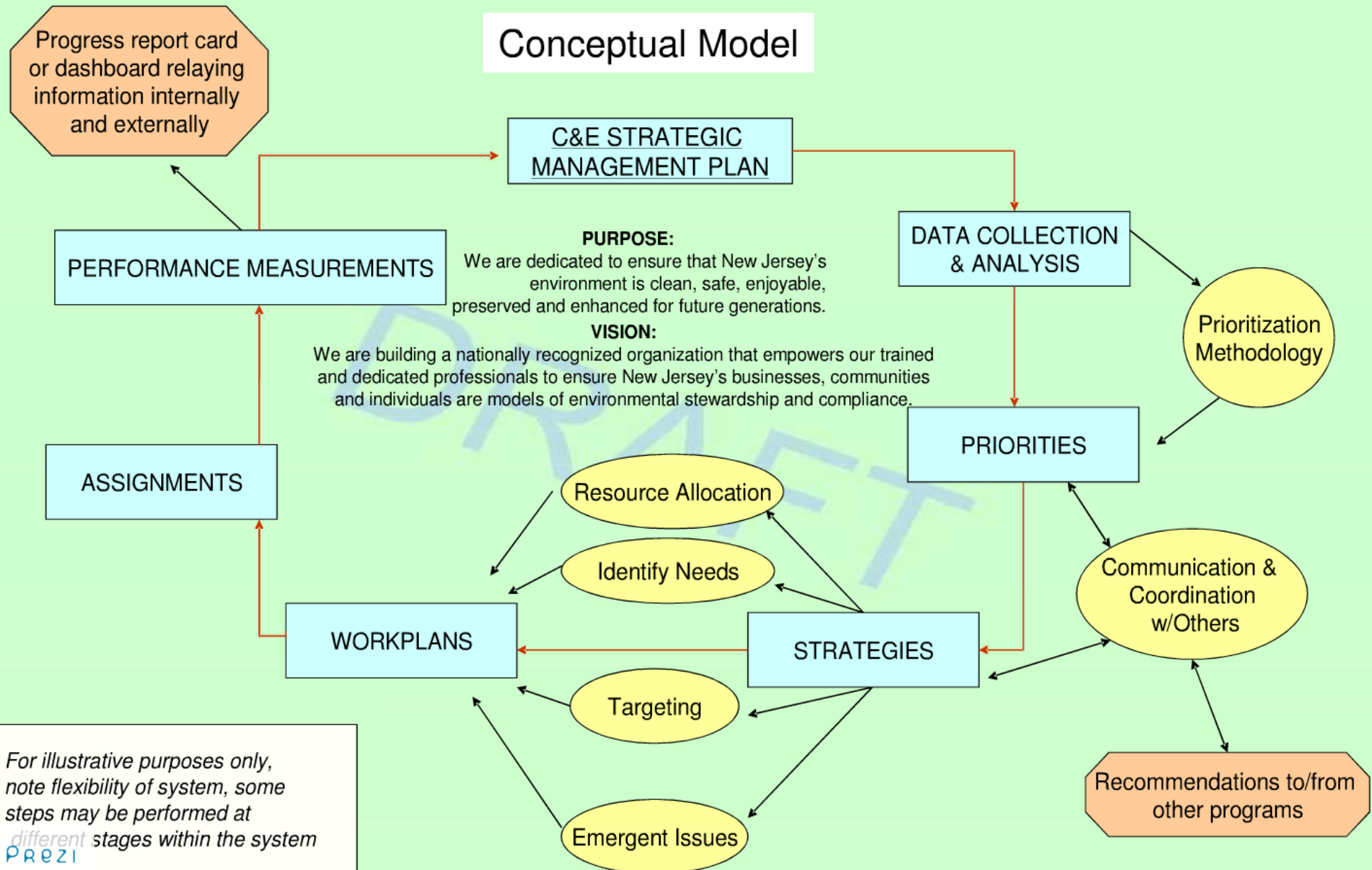
Mission Statement

"We will design a dynamic system that can set priorities within programs and across programs in Compliance and Enforcement (C&E), that can measure and communicate results effectively, and that is flexible in adapting to emerging issues for the benefit of C&E employees, the regulated community, and the general public to improve upon our past success, to meet the needs of the future, and to achieve the best environmental outcome."

Development of SMS

(Strategic Management System)

Conceptual Model



PERFORM

Performance Measurement in Action

A Balancing Act



About the Author
Howard Rubin is Vice-President of the Balanced Scorecard Institute, president of Howard Rubin Consultants, LLC, and an international trainer, consultant, and facilitator. He has over 25 years of government and private industry strategic planning, Balanced Scorecard, Performance Measurement, and information technology experience.

Developing and Using Balanced Scorecard Performance Systems

Private and public organizations find themselves continually trying to do more with less. As I visit business and government managers around the world, I am reminded of Stephen Covey's quote: "People and their are done right, that they I time to decide if they are right things."

Doing the right things things right is a balance requires the development business strategies an operations to deliver th and services required to the strategies. Competit

Featured in this issue...

A Balancing Act - Page 1
by Howard Rubin

There's More to Your Organization Than You Can See - Page 9
by Brett Knowles

Maintaining the Balanced Scorecard - Page 17
by Paul R. Wilson

A Journey of Change - Page 20
by Georgia H. Hampton and Rust E. Hill

on private businesses, and performance improvement and reform pressures on public sector organizations, mandate that organizations continually worry about executing good strategy well, at the same time that they worry about mining business operations efficiently. Today's organizations need to be both strategically and operationally excellent to survive and meet tomorrow's challenges. One framework that helps achieve the required balance between strategy and operations is the Balanced Scorecard.

This article discusses how to develop a Balanced Scorecard performance system, explores issues that organizations face in building and implementing scorecard systems, and shares lessons learned from organizations that have taken the Balanced Scorecard journey.

Originally developed as a framework to measure private industry non-financial performance, Balanced Scorecard systems are equally applicable to public sector organizations, but only after changes are made to account for the government mission and mandates, not profitability, that are unique to almost all public sector business strategy entities. (Some public organizations generate and use revenues to offset expenses and minimize the need for annual Congressional appropriations; their

Charlotte's Balanced Scorecard



ID	Document Title	Brief Description, and Willy's notes
1	UK Modern Regulation.pdf	What UK calls "modern" regulation, contains brief descriptions of some post end-of-pipe strategies, inc self regula
2	C&E and Innovation - Gunningham	Similar to UK article, written more from a third person perspective, based out of australia
3	Front line C&E relationships Pautz 2009.pdf	research done in west va regarding relationships between inspectors and facility reps
4	state of C&E-Deterrence science 2007 kj notes.pdf	deterrence theory in EPA regulation, very good paper, NOTE: MAY BE IMPORTANT TO READ FOR SOME TRAP
5	blackstone project.pdf both 1 and 2	paper about building a cross-media team in envl regulation, specifically facility-wide permitting
6	canvase-ed ontario sms.pdf	Paper about Ontario using a SMS in a governmental program (alcohol board)
7	building a gov balanced scorecard1 and also 2.pdf	Slideshow from a gov SMS effort in a NC county. Brief and vague, but provides some BSC-plan templates, and n
8	CompStat literature taxonomy.pdf	list of compstat articles
9	GovernmentStrategyMapExample.pdf	a one page example of a strategy map
10	inece.pdf	international network for environmental compliance efforts. Guide for using indicators/sms in compliance
11	jones.pdf	Short, "cheerleading" article, not that great but provides basic, superficial explanation of ideas and terms
12	PM TechGuide.pdf	USDOJ paper on using SMS-Pls. Great explanation of terms, methodology, justification for use along with a
13	unbalanced-scorecard.pdf	journal article not a casual read, lists problems w/balanced scorecard. No need to read, I already summarized th
14	swedish scorecard.pdf	analysis of Swedish Police efforts to use BSC. May be a bit biased against BSC, but I agree w/some points raise
15	salmon%201999.pdf	similar to id#7 above, written for salmon regulation in WA. As above, brief and vague slideshow, but may be som
16	arteocedants.pdf	Analysis of BSC, probably entire group does not need to read, but should be made aware of basic points
17	Harvard Business Review article BSC.pdf	Original article describing BSC
18	gmap.pdf	Provided by Jeff Meyer, somewhat similar to PM Techguide, describes SMS for use by governors, with steps and
19	hisp techguide 010907.pdf	very good writeup of what JUSP are doing, but more of a descriptive than a how to manual.
20	rohm bsc article.pdf PARTS 1 AND 2 AND GOVT	Brief, but very, very good how-to article, easy to understand, simple def of terms, ref's #7
21	epa strategic plan.pdf	Personally I am not overly fond of this one, seems to hold up very poorly against the USDOJ paper #12

NOTE: THESE BLUE HIGHLIGHTED ROWS INDICATE A PAPER THAT MAY BE DIRECTLY RELATED TO THE SMS TRANSFORMATION TEAM
NOTE: THESE PURPLE HIGHLIGHTED ROWS INDICATE A PAPER THAT MAY BE AN IMPORTANT READ FOR THE GROUP

Strengths (Fall 2010)

- Experienced staff & managers
- Long history of regulatory successes
- Changed industry behavior for the better
- Responsive to the public
- Clear legislative mandates (statutes)
- We get to deal with the public; we are the face of the DEP
- Ongoing commitment to strive for consistency among C&E programs
- Predictability associated with consistency
- Ability to address sites holistically and marshal resources in various programs

Weaknesses (Fall 2010)

- Too many regulations, difficult to understand, cumbersome, process to change them is impossible/broken
- Federal mandates
- Inability to measure and communicate success
- World doesn't value the preventative nature of our job – they want the end result of environmental protection but they don't understand the process (complexity of the task)
- Outreach with the public/stakeholders
- Communication & partnership with other state agencies
- New management doesn't know what we do
- Funding based on inspections
- Poor management of our customer relationships
- Inability to change
- Program specificity of inspections
- Access to other parts of the department for information
- C&E being lumped with the confusion created by permitting
- Permitting

Threats (Fall 2010)

- Losing staff we can't replace
- Unpredictable funding
- Lack of succession planning/loss of institutional knowledge/inability to promote
- Change or be changed. We WILL be changed. We need to change first before they change us in a way we don't want to be changed.
- Permitting

Opportunities (Fall 2010)

- Communicate our successes more effectively
- Find other outlets for publicity other than the press
- Talk directly to the public
- Make communication a priority
- Streamline checklist so you can account for compliance without going through the whole process

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Tour and interviews NJ
State Police ROIC
Intel-Led Policing April 21

SMS
rep

s,

Strategic Management System Re
development





Roles

* EIC LEADER

+ Watch Operations

• Outreach

+ Analysts

• Data Quality/Systems

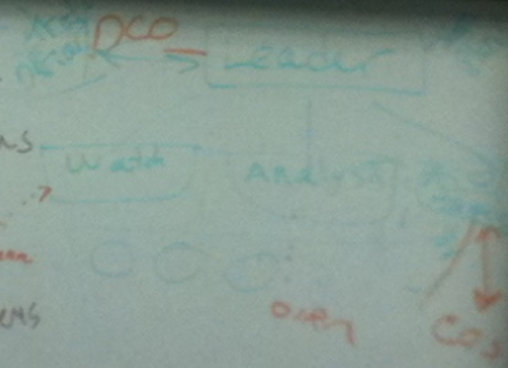
+ Asset Mgmt/Resouces - Goal owners

• Outreach

- Identifying organisational capacity

- Programmes

- Support



Development of an Intelligence-Led Strategic Management System

A New Paradigm for Compliance and
Enforcement

FINAL REPORT

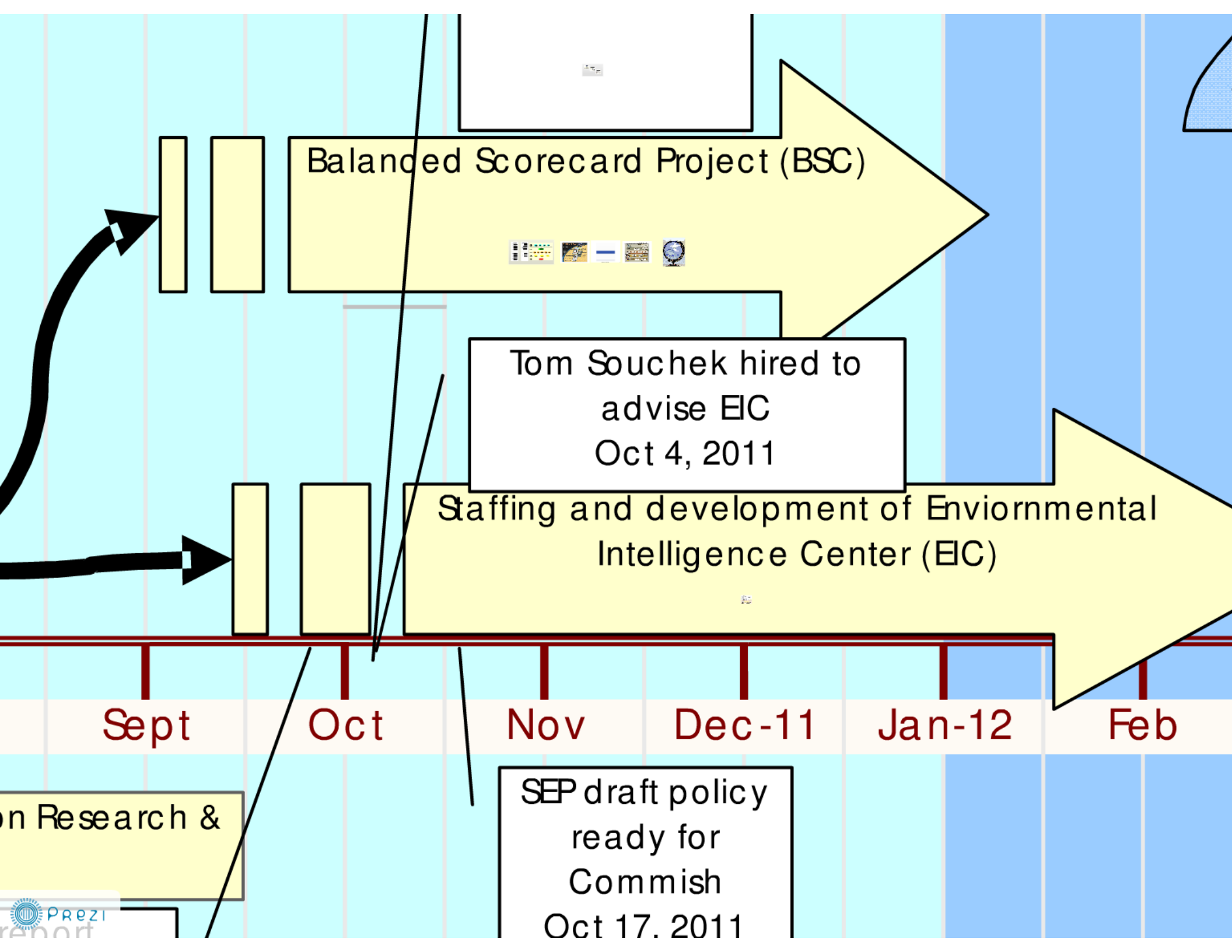
August 19, 2011

ews NJ
OIC
April 21

SMSteam final
report Aug 1,
2011

Management System Research &
development

y June July Aug Sept Oc



Tom Souчек hired to
advise EIC
Oct 4, 2011

Staffing and development of Environmental
Intelligence Center (EIC)

Nov

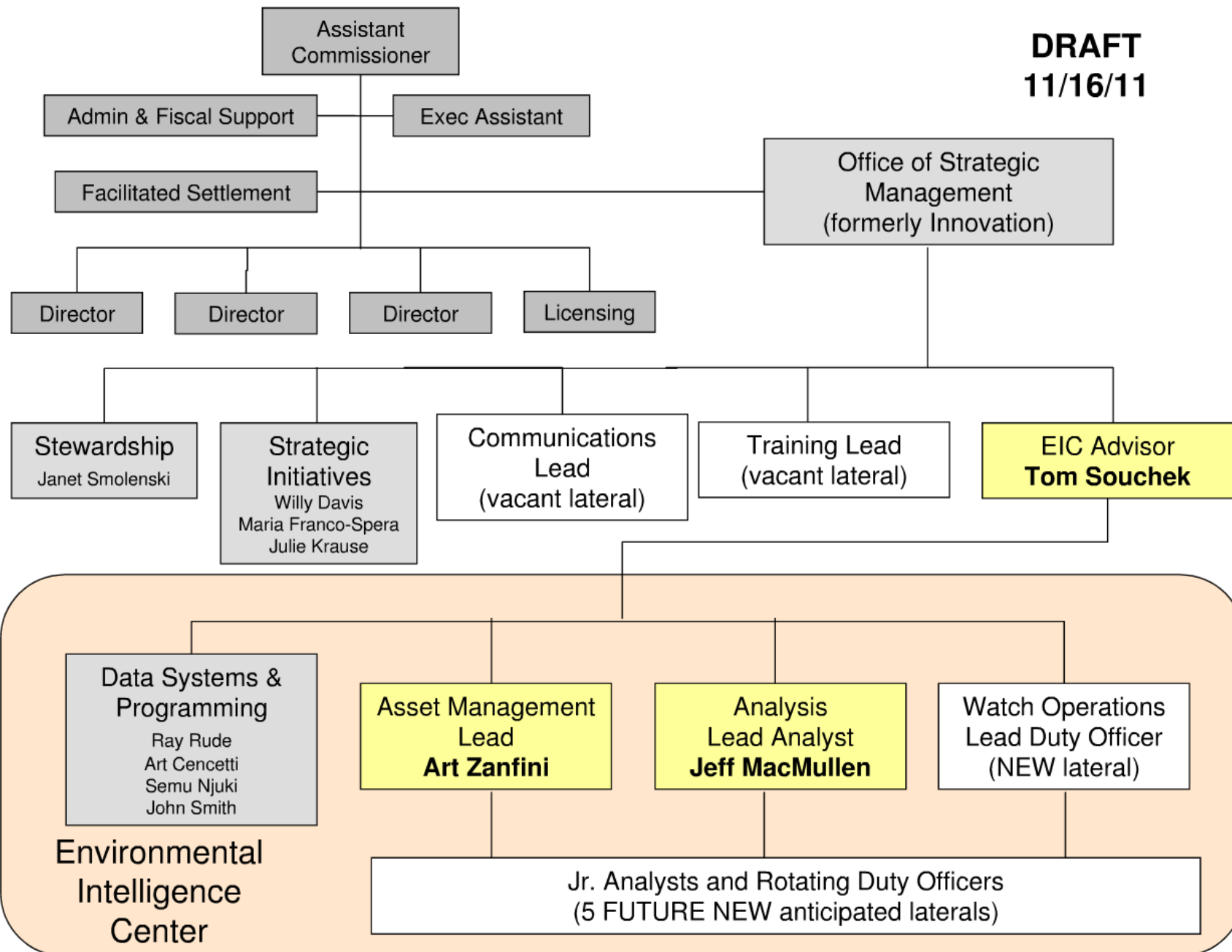
Dec-11

Jan-12

Fe

SEP draft policy
ready for

DRAFT
11/16/11



BSC consultant
Oct 4-5, 2011



Balanced Scorecard Project (BSC)

The Strategy Story

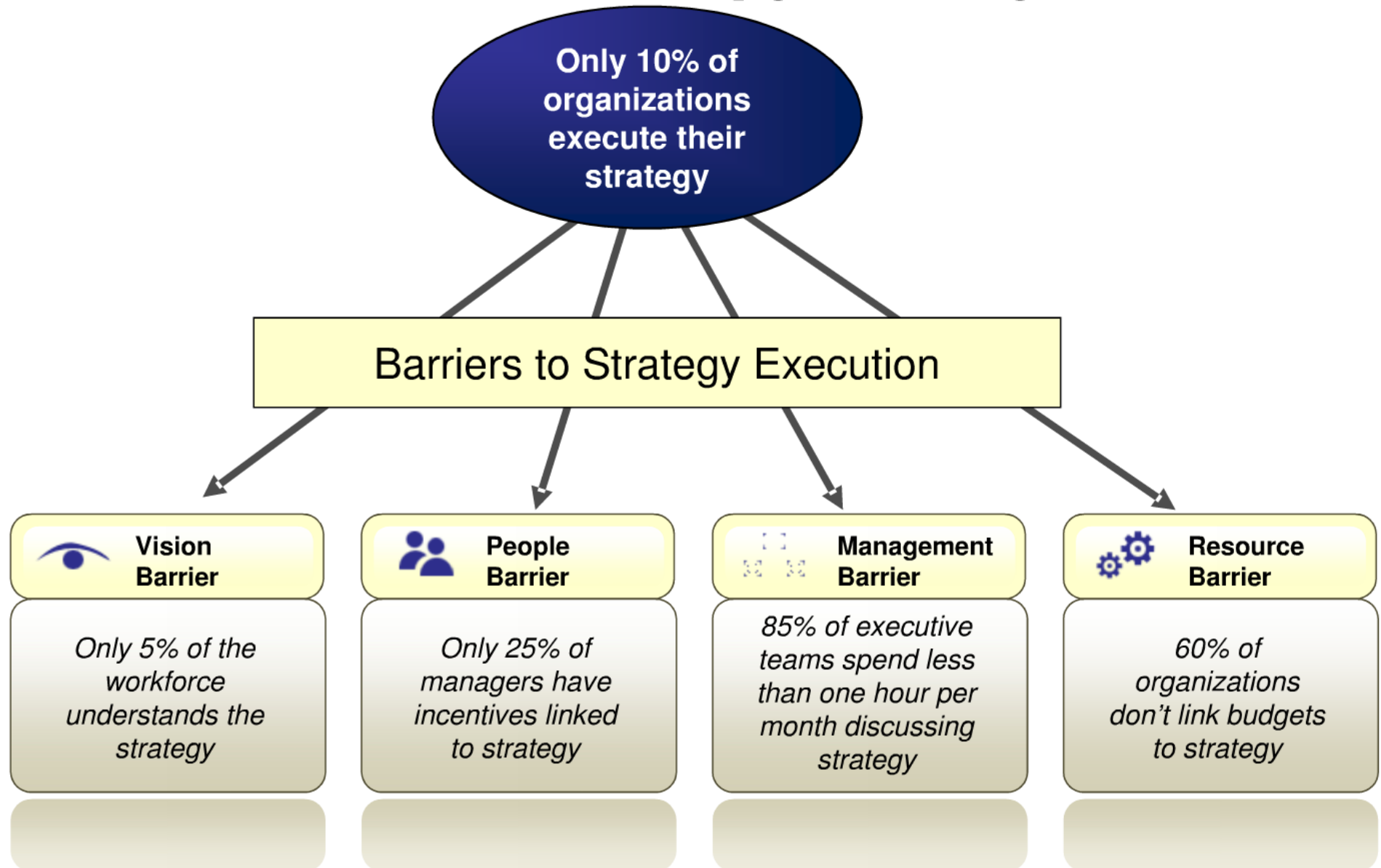
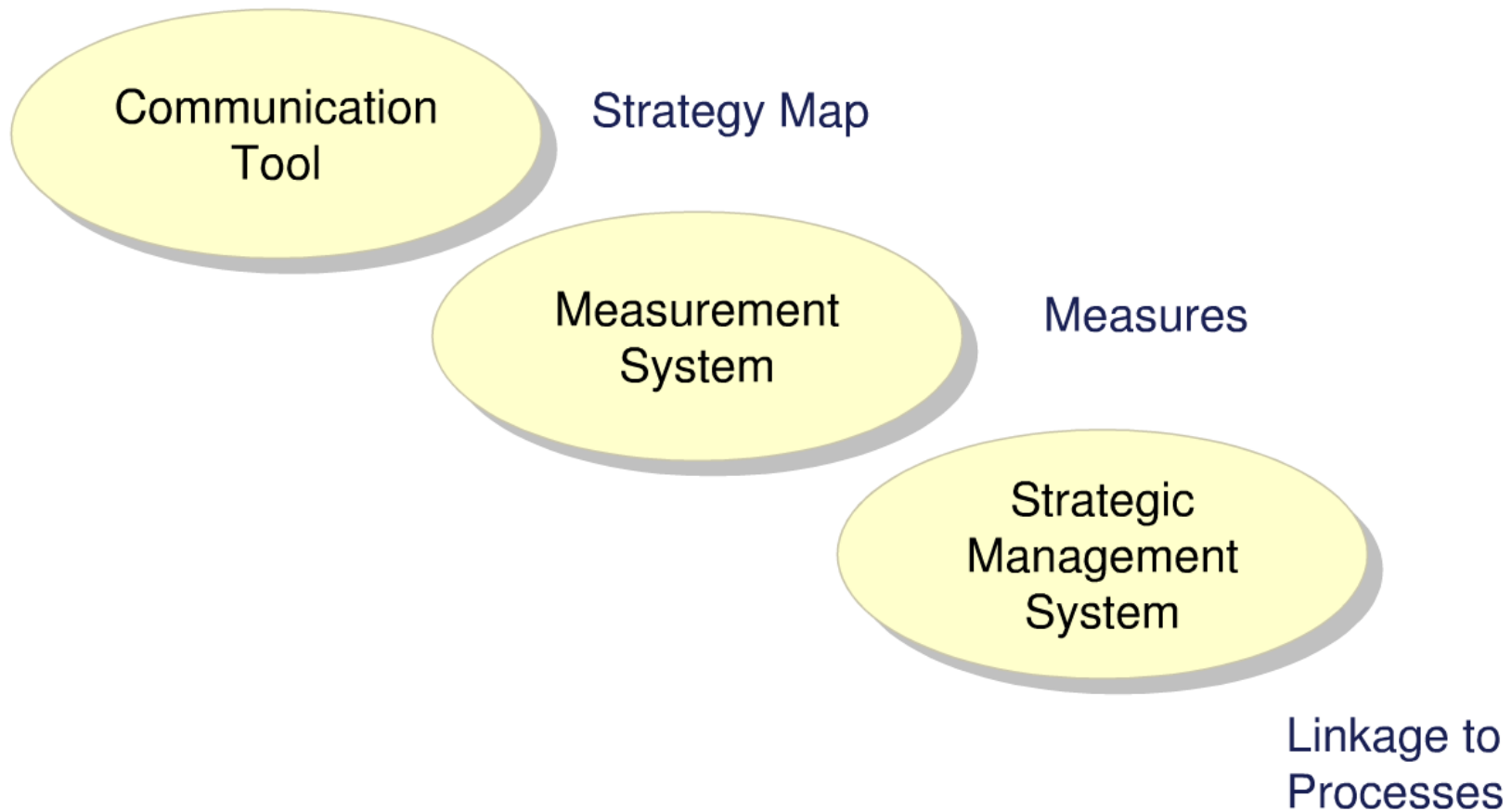


Chart adapted from material developed by Robert S. Kaplan and David P. Norton

The Balanced Scorecard “System” is Three Things



Create an Office of Strategy Management

As organizations have evolved, professional disciplines have emerged



Today, strategy must be managed and executed if organizations expect to succeed



BSC consultant
Oct 4-5, 2011

Balanced Scorecard Project (BSC)



Tom Souчек hired to
advise EIC
Oct 4, 2011

C&E Goals, Objectives and Objective Statements 2011-2012

Goal 1: Build and maintain organizational excellence

Objective 1.1 Integrate the balanced scorecard into our operations

Statement 1.1 To achieve organizational excellence in the evolving environmental enforcement field, we will use the balanced scorecard to align and integrate our day-to-day activities to our mission and strategy, and monitor our performance against strategic goals. To ensure that everyone in C&E is working towards the same goals, we will cascade the strategic measures to all bureaus and units, thus linking and integrating strategy to operations.

Objective 1.2 Ensure management and staff function as a team

Statement 1.2 Team work will be essential to address the complexities of emerging environmental problems and C&E priorities. Carrying out this objective is the responsibility of everyone in C&E. To achieve this objective we will employ continuous improvement feedback, regular two-way communication, collective problem solving skills, and transparency and fairness in decision making.

Objective 1.3 Align, empower and invest in our employees

Statement 1.3 Employee development, alignment and empowerment is vital in maintaining and developing the capabilities of both individual employees and the organization as a whole as well as indispensable for

C&E Goals, Objectives and Objective Statements 2011-2012

Goal 1: Build and maintain organizational excellence

Objective 1.1 Integrate the balanced scorecard into our operations

Statement 1.1 To drive operational excellence in the working environment, we will use the balanced scorecard to align and integrate our day in day activities to our mission and strategy, and monitor our performance against strategic goals. To ensure the effectiveness of C&E, we will identify the strategic goals, we will cascade the strategic measures to all business units, thus linking and integrating strategy to operational results. To ensure goals, we will cascade the strategic measures to all business units, thus linking and integrating strategy to operational results.

Objective 1.2 Ensure management and staff function as a team

Statement 1.2 Team work will be essential to address the complexity of emerging environmental problems, and C&E position. Carrying out this objective is the responsibility of everyone in C&E. To achieve this objective, we will engage our business improvement feedback, regular two-way communication, collective problem solving skills, and transparency and fairness in decision making.

Objective 1.3 Align, empower and invest in our employees

Statement 1.3 Employee development, alignment and empowerment is vital in maintaining and developing the capabilities of both individual employees and the organization as a whole to deal with environmental challenges. We also recognize that the knowledge, skills, and competencies of our people are our greatest strength. To succeed as an organization and maximize our effectiveness, we must align our employees with the needs and profiles of the organization. To achieve this objective, we will invest in their skills, knowledge, motivation and abilities, to the appropriate skills, experience and support our people in new and modified roles, provide relevant training opportunities, and encourage staff to proactively take charge of their own development by creating a learning environment with their managers.

Objective 1.4 Leverage technology

Statement 1.4 Technology empowers organizations to produce better products and deliver more customer value. We recognize that it is critical to do our jobs well and do more with less. We must maximize the use of technology, and leverage it to achieve our objectives. We are currently working on several technology projects to improve operations, better serve our customers, and support staff in new and modified roles.

Goal 4: Establish a new model for environmental field operations evolved from past successes and enhanced through innovation

Objective 4.1 Ensure high and meaningful compliance and maintain documents

Statement 4.1 While we are moving beyond traditional environmental, we must ensure that compliance remains the backbone of our organization. We will not allow past problems to reemerge. To accomplish this objective, we will establish a strong environmental personnel and ensure that building while considering the effects on the future, that have the most significant environmental impact.

Objective 4.2 Expand our capabilities

Statement 4.2 We have accomplished much using traditional command and control environment. However, modern regulatory framework and challenges of environmental protection demand and creativity and innovation that build on traditional environment. To achieve this objective, we must explore and develop new methods, skills, tools and techniques that result in better performance than others, and high and meaningful compliance. Some of these activities include Supplemental Environmental Projects or SEP's, the Greenhouse Program, and enhanced education.

Objective 4.3 Find and fix environmental problems

Statement 4.3 Achieving environmental improvements is at the heart of our mission. It is the responsibility of all of us to focus on environmental problems, document where they exist, provide creative solutions. When action is required, we are empowered to take action. To achieve this objective, we must empower staff to use their knowledge and experience and develop creative ways to spend more time recognizing, identifying and solving environmental problems.

Goal 5: Demonstrate accountability, responsiveness and trustworthiness

Objective 5.1 Communicate effectively

Statement 5.1 We are in the midst of dramatic change and must remain sensitive to achieve environmental results. It is a decision of positive environmental problems, natural resources and personal responsibility. In order to be successful, we must be transparent and build on the values and traditions of service. To achieve this objective, we must communicate effectively, be transparent, respond to concerns and measure our success to operational results.

Objective 5.2 Anticipate customer needs and ensure a consistent and predictable customer experience

Goal 2: Collaborate with partners critical to C&E's mission, goals and objectives

Objective 2.1 Align C&E with NJDEP goals

Statement 2.1 Aligning our goals and priorities with those of the NJDEP will ensure that we are all working together to contribute to the success of the entire organization. In addition, we have an added responsibility to ensure alignment with NJDEP goals, since C&E's Assistant Commissioner is the "Agent" of NJDEP Goals. Recognition and Enhanced Protection Environmentally, Environmentally, Environmentally. To accomplish this objective, we must ensure that everyone in C&E clearly understands how their own individual job responsibilities contribute to the statement of intent. NJDEP goals and C&E goals are closely aligned. We will cascade the balanced scorecard to all programs within C&E to drive alignment. We will also focus on efforts to ensure cross program coordination and alignment with NJDEP Goals.

Objective 2.2 Get more done through partnerships

Statement 2.2 There are numerous state and local, private, not-for-profit, and public entities that have similar goals and objectives as C&E. Mutual identification of these entities and the shared goals for future partnership to maximize our impact, which is especially important as our resources are limited. This objective will be achieved through meaningful communication, outreach, information sharing, joint initiatives, and sharing.

Goal 3: Use science and data analysis to determine priorities and measure progress in achieving meaningful environmental health and safety objectives

Objective 3.1 Utilize intelligence-led strategic management

Statement 3.1 Intelligence-led strategic management involves environmental intelligence to influence and guide decision making. Environmental intelligence is a process of the data and information are analyzed and analyzed. This objective will be achieved through the creation of an Environmental Intelligence Center (EIC). The EIC will have the capability to leverage our intelligence data collection capabilities and use data and information to develop environmental intelligence products that will ultimately drive strategic planning, allocation of resources and decision making within C&E.

Statement 3.2

More than any other C&E program, C&E has the most frequent, direct, and impactful contact with the regulated community, making it the "on-the-ground" of the entire organization to our customers. Anticipating and understanding customer needs is a critical component of our mission and is a key to our success. To achieve this objective, we will proactively identify and develop solutions to customer needs and partner with customers to ensure that they have the necessary knowledge, information, credibility, and creative problem solving techniques.

Objective 3.3 Ensure credible funding

Statement 3.3 Like any other organization, loss of funding can impact our ability to accomplish our mission during economic downturns. As a result of our reduced resources, and the severe impact of the recession, it is critical for our funding to be credible and reliable. To accomplish this objective, we will strive to generate our current funding sources, develop funding alternatives, and identify and seek funding opportunities.

Objective 3.4 Proactive fiscal responsibility

Statement 3.4 Quality efficient management of public funds is paramount to ensure the public interest and ensure economic prosperity. We will accomplish this objective by providing and maintaining fiscal discipline, transparency and sustainability of public funds and developing fiscal and budgetary policies that provide for the sound administration of these resources.

Citizen & Shareholder Who we protect and who else cares

4.1 Ensure high and meaningful compliance and maintain deterrence

4.3 Find and fix environmental problems

Customer Who we serve

5.2 Anticipate customer needs and create a consistent and predictable customer experience

Internal Systems How we do it

1.1 Integrate the balanced scorecard into our operations

2.1 Align C&E with NJDEP goals

2.2 Get more done through partnerships

Learning & Capacity What we need

1.2 Ensure management and staff function as a team

1.3 Align, empower and invest in our employees

Investment & Funding What it takes

5.3 Ensure stable funding

**Citizen &
Shareholder**
*Who we protect
and who else
cares*

4.1 Ensure high and
meaningful compliance
and maintain
deterrence

4.3 Find and fix
environmental
problems

5.1
Communicate
effectively

5.4 Practice fiscal
responsibility

Customer
Who we serve

5.2 Anticipate customer needs
and create a consistent and
predictable customer experience

Internal Systems
How we do it

1.1 Integrate the
balanced scorecard
into our operations

2.1 Align C&E
with NJDEP
goals

2.2 Get more done
through partnerships

3.1 Maximize
intelligence-led
strategic
management

4.2 Expand
our capabilities

**Learning &
Capacity**
What we need

1.2
Ensure management
and staff function
as a team

1.3 Align,
empower and invest
in our employees

1.4
Leverage technology

**Investment &
Funding**
What it takes

5.3 Ensure
stable funding

THE GAME PLAN

OUR VISION: BE THE MARKET ICON IN LEADING EDGE
NON-OPERATIVE PRODUCTS AND SERVICE SOLUTIONS.

OUR MISSION: PROVIDE HIGH VALUE,
DIFFERENTIATED SPORTS MEDICINE
PRODUCT AND SERVICE SOLUTIONS
FOR NON-OPERATIVE HEALING
AND PAIN RELIEF.



CUSTOMER

DELIVER
THE RIGHT
SOLUTIONS TO
BE OUR CUSTOMER'S
PARTNER OF CHOICE.

SERVE CUSTOMERS WITH
PASSION AND COMMITMENT
TO BUILD LOYALTY.



FINANCIAL

ACCELERATE FUTURE
PERFORMANCE THROUGH
NEW PRODUCTS AND
SERVICE SOLUTIONS.

STRENGTHEN REVENUE
AND OPERATING PROFIT
BY LEVERAGING SALES OF
EXISTING PRODUCTS AND
SERVICE SOLUTIONS.



 **BREG**
an Orthofix Company

INTERNAL PROCESS

ESTABLISH AND LEVERAGE
A ROBUST UNDERSTANDING
OF CUSTOMER NEEDS.

DEVELOP NEW PRODUCTS
AND SERVICE SOLUTIONS
RAPIDLY AND EFFECTIVELY.

BUILD BRAND AWARENESS.

CONTINUOUSLY IMPROVE SALES EFFECTIVENESS.

DRIVE PROCESS IMPROVEMENT.



EMPLOYEE LEARNING & GROWTH

HIRE, DEVELOP, AND RETAIN A DIVERSE,
HIGH-PERFORMING STAFF.

GIVE OUR TEAM ACCESS TO THE RIGHT
TOOLS, TECHNOLOGY, AND ACTIONABLE
INFORMATION.

LIVE THE CULTURE AND CELEBRATE
SUCCESSSES.

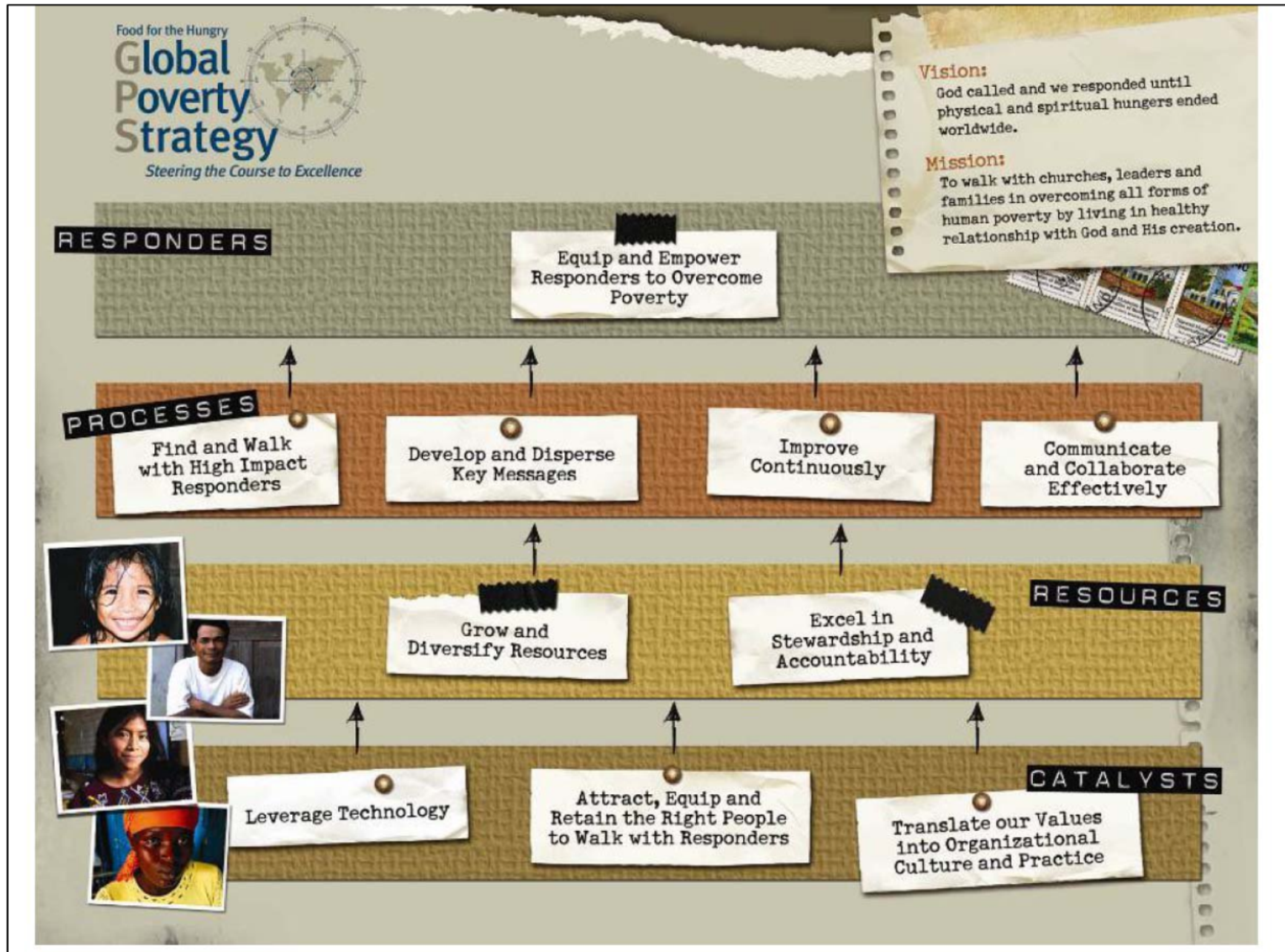
PLAY BY THE RULES AND GIVE
BACK TO OUR COMMUNITY.

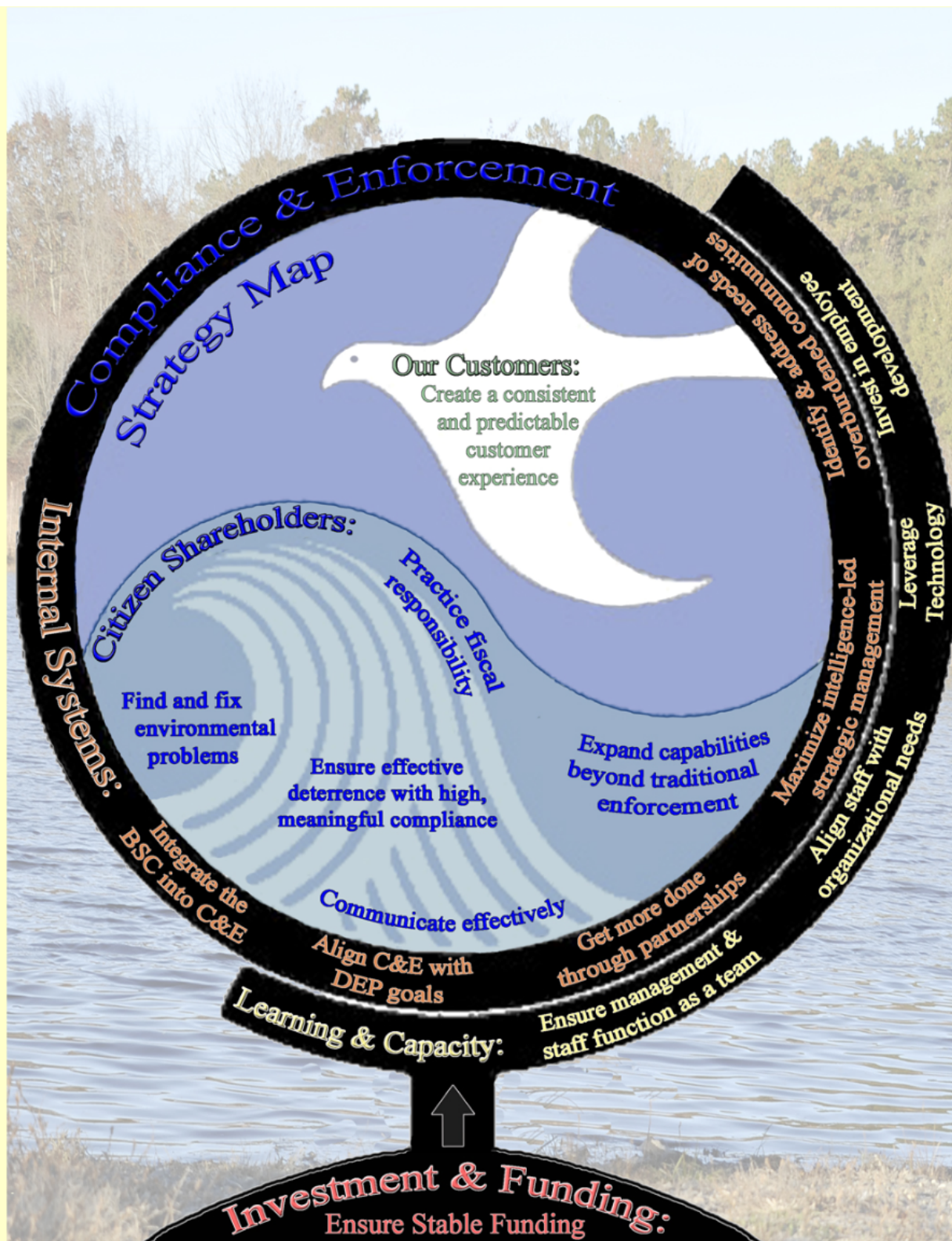


BREG



Food for the Hungry (U.S.) -







Communicate effectively

Integrate the
to C&E

Align C&E with
DEP goals

Learning & Capacity:

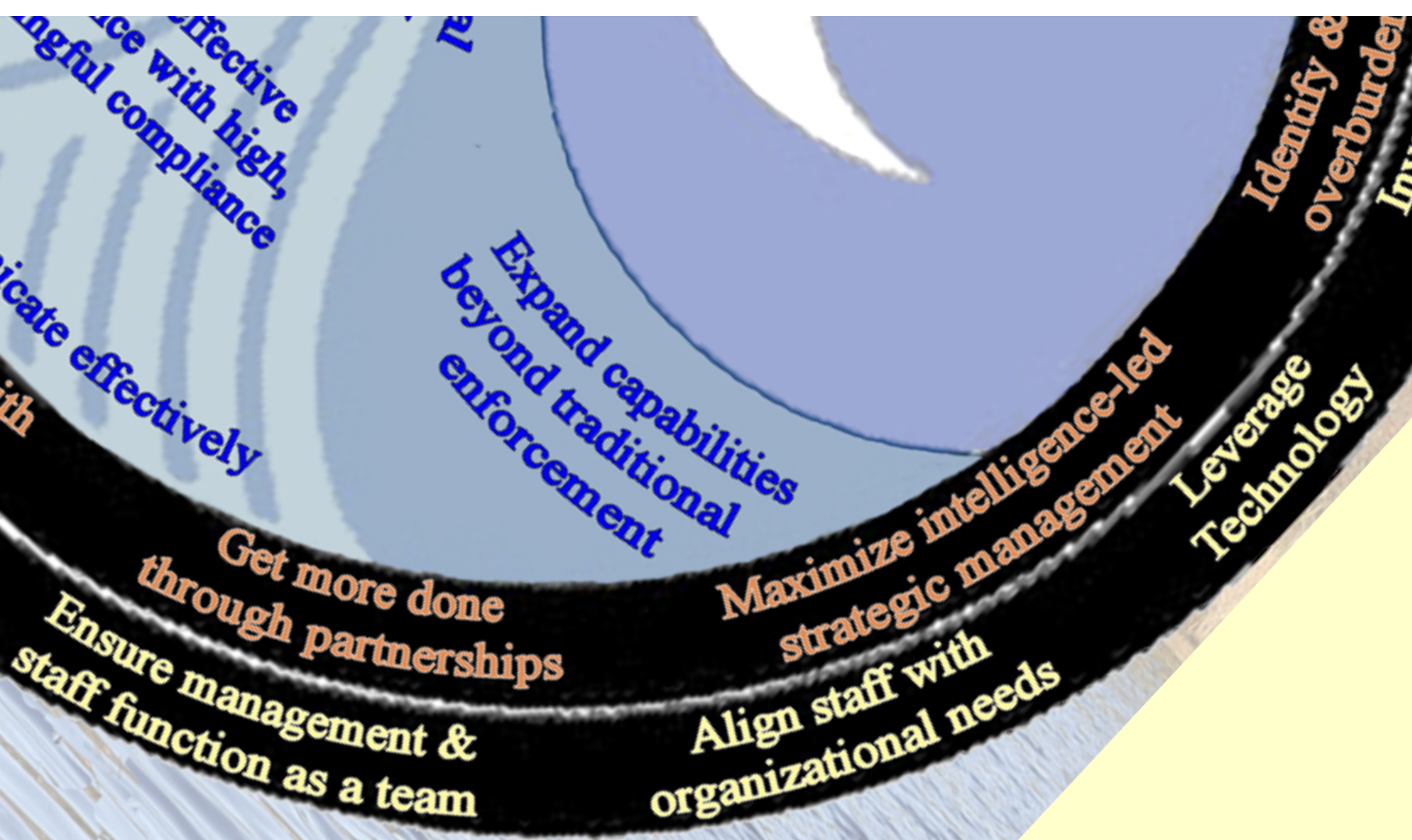


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Internal Systems:

Citizen Systems

Find and
environn
problem





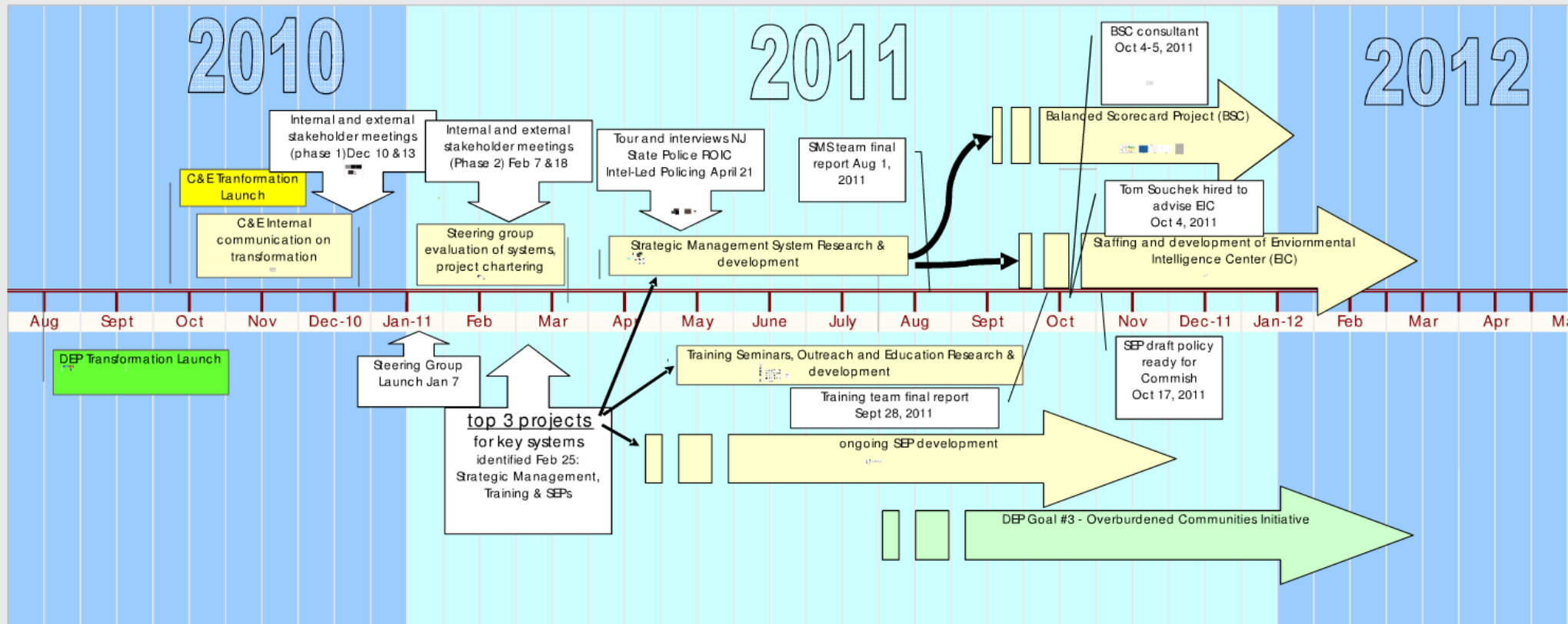
Evidence-led
ment

Leverage
technology

Identify & address needs of
overburdened communities

Invest in employee
development

C&E Transformation Timeline



Report

Development

Commish
Oct 17, 2011

DEP Goal #3 - Overburdened Communities Initiative

Goal 2 –Utilize Barnegat Bay Restoration Project as a
establish watershed based protection and enhancer
New Jersey's surface water bodies

Goal 3 – Restoration and Enhanced Protection in
Environmentally Overburdened Communities

Goal 4 – Sustainable Parks

Goal 5 – A Renewable Energy Strategy for Public He

DEP Level Goals

Goal 1 – Comprehensive Regional Environmental Management



Goal 2 – Utilize Barnegat Bay Restoration Project as a model to establish watershed based protection and enhancement of all New Jersey's surface water bodies



Goal 3 – Restoration and Enhanced Protection in Environmentally Overburdened Communities



Goal 4 – Sustainable Parks



Goal 5 – A Renewable Energy Strategy for Public Health, Environmental Protection and Economic Vitality



Goal 4 – Sustainable Parks



Goal 5 – A Renewable Energy Strategy for Public Health,
Environmental Protection and Economic Vitality



Sustainability

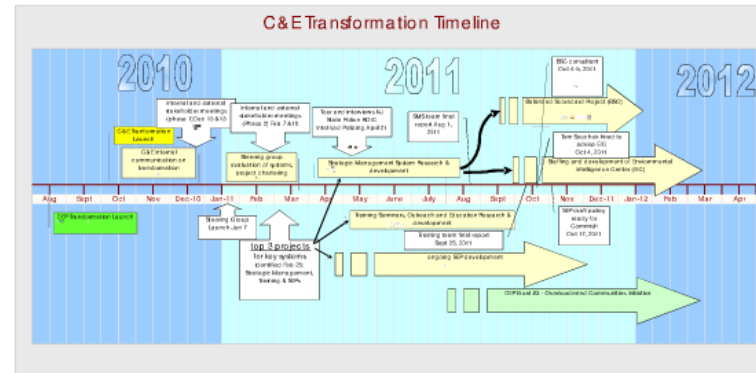


Indicators and Metrics tied to the budget



C&E Projects

1. Strategic Management System (development & recommendations) ✓ done!
2. Balanced Scorecard implementation as Strategic Management System
3. Development of an Environmental Intelligence Center (EIC)
4. Centralized Duty Officer/Watch Operations
5. DEP Goal #2 Pilot - Barnegat Enviro-shed model
6. Supplemental Environmental Projects (SEPs)
7. Training Seminars, Outreach and Education (external, standardized- 2 phases) ✓ done!
8. Training - phase 3 (Appoint a lead for oversight, expand to staff training)
9. DEP Goal #3 Ownership - guide and coordinate all programs
10. Goal #3 Pilot for C&E - Waterfront South
11. Outstanding Debt Reduction



DEP Level Goals

Goal 1 – Comprehensive Regional Environmental Management ➡

Goal 2 – Utilize Barnegat Bay Restoration Project as a model to establish watershed based protection and enhancement of all New Jersey's surface water bodies ➡

Goal 3 – Restoration and Enhanced Protection in Environmentally Overburdened Communities ➡

Goal 4 – Sustainable Parks ➡

original 3 projects

C&E Projects

1. Strategic Management System (development & recommendations) ✓ **done!**

- 2. Balanced Scorecard implementation as Strategic Management System
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- 4. Centralized Duty Officer/Watch Operations
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7. Training Seminars, Outreach and Education (external, stardardized- 2 phases) ✓ **done!**

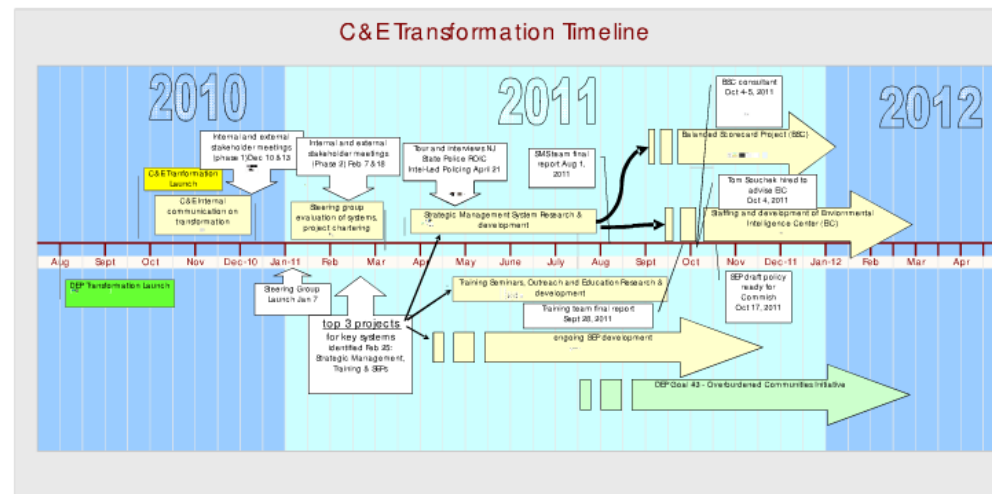
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11. Outstanding Debt Reduction

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11. Outstanding Debt Reduction



DEP Level Goals

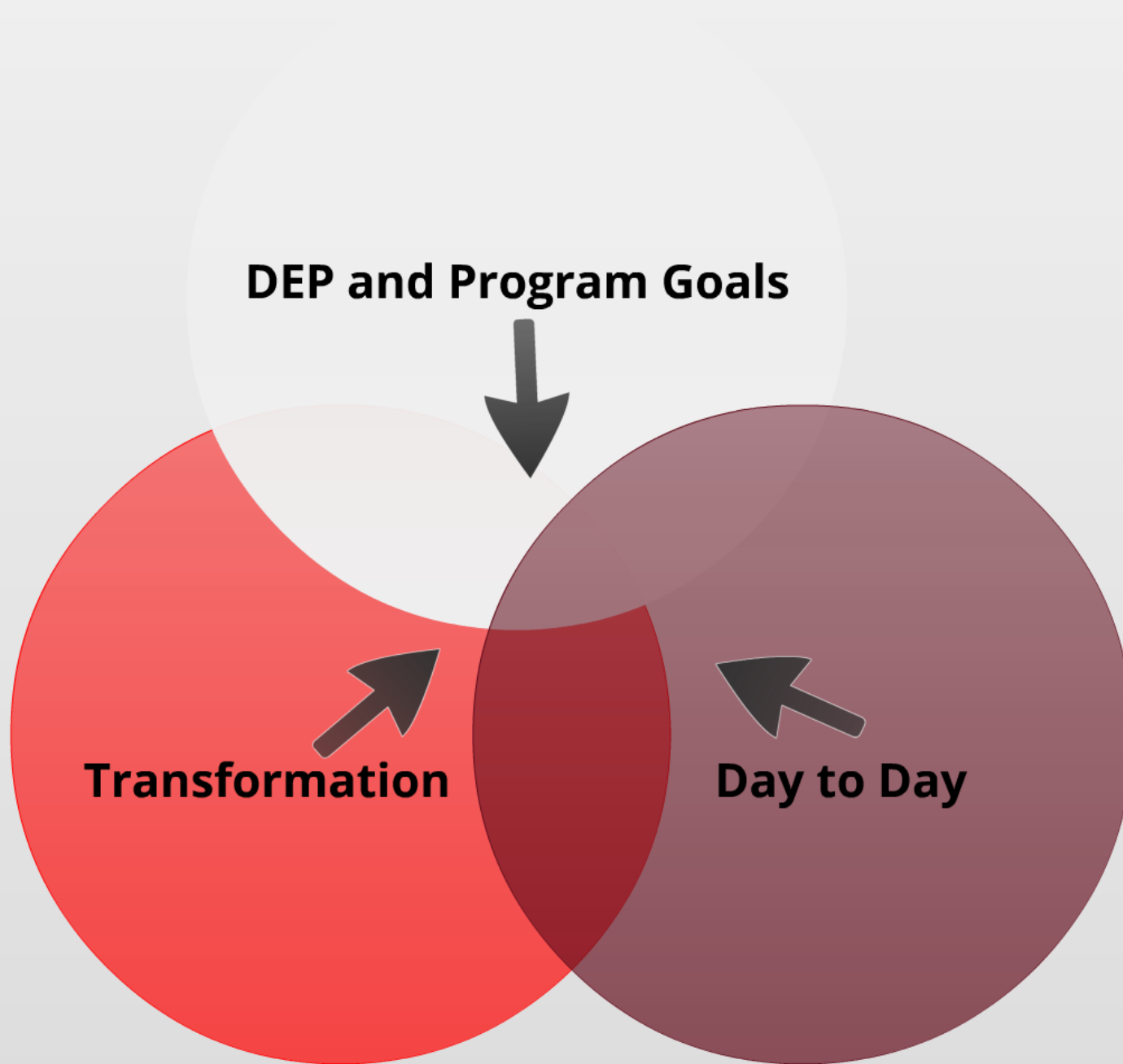
Goal 1 - Comprehensive Regional Environmental Management



Goal 2 -Utilize Barnegat Bay Restoration Project as a model to establish watershed based protection and enhancement of all New Jersey's surface water bodies



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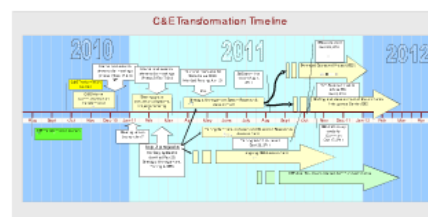
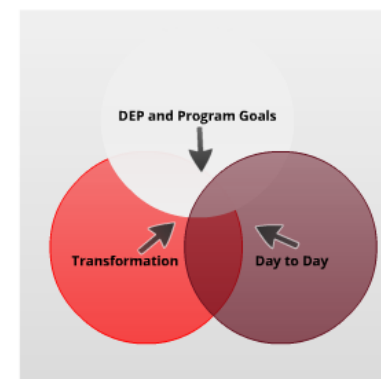




original 3 projects

C&E Projects

- 1. Strategic Management System (development & recommendations) ✓ *done!*
- 2. Balanced Scorecard Implementation as Strategic Management System
- 3. Development of an Environmental Intelligence Center (EIC)
- 4. Centralized Duty Officer/Watch Operations
- 5. DEP Goal #2 Pilot - Barnegat Enviro-shed model
- 6. Supplemental Environmental Projects (SEPs)
- 7. Training Seminars, Outreach and Education (external, standardized- 2 phases) ✓ *done!*
- 8. Training - phase 3 (Appoint a lead for oversight, expand to staff training)
- 9. DEP Goal #3 Ownership - guide and coordinate all programs
- 10. Goal #3 Pilot for C&E - Waterfront South
- 11. Outstanding Debt Reduction



DEP Level Goals

- Goal 1 - Comprehensive Regional Environmental Management →
- Goal 2 - Utilize Barnegat Bay Restoration Project as a model to establish watershed based protection and enhancement of all New Jersey's surface water bodies →
- Goal 3 - Restoration and Enhanced Protection in Environmentally Overburdened Communities →
- Goal 4 - Sustainable Parks →
- Goal 5 - A Renewable Energy Strategy for Public Health, Environmental Protection and Economic Viability →

Sustainability →

Indicators and Metrics tied to the budget →